



UNITED STATES
FEDERAL COMMUNICATIONS COMMISSION

**PRIVACY IMPACT ASSESSMENT (PIA) FOR
THE BOUNDARY FOR THE AUCTION BIDDING
SYSTEM & FLEXIBLE AUCTION BIDDING SYSTEM**

April 2023

Annual Review Date

OFFICE OF GENERAL COUNSEL

Washington DC, 20554

Date	Description	Name
3/14/2023	Revisions to Sections 1.2B, 1.3A, 1.3D, 1.4B	Senior Agency Official for Privacy (SAOP) – Elliot S. Tarloff
4/18/2023	Clerical and consistency edits	SAOP

Boundary for the Auction Bidding System & Flexible Auction Bidding System

1. Introduction

Section 208 of the E-Government Act of 2002¹ requires agencies to conduct a **Privacy Impact Assessment (PIA)** whenever they procure or develop an information technology system that will collect, maintain, or disseminate information about individual people. The PIA must document how the system will use information it collects about individuals and, unless it contains classified or sensitive information, it must be made available to the public. The PIA is intended to be a tool for agencies to protect personal information throughout a technology system's life cycle. The Office of Management and Budget (OMB) has commented: *"In general, PIAs are required to be performed and updated as necessary where a system change creates new privacy risks."*²

The FCC is subject to the requirements of the E-Government Act and is committed to identifying and addressing privacy risks whenever it develops or makes changes to its information systems. The questions below explore important privacy issues identified in the Act and in later guidance by the Office of Management and Budget (OMB) and the National Institute of Standards and Technology (NIST). A longer discussion of the FCC's PIA policies can be found in Chapter 9 of the FCC's Privacy Act Manual (FCC Inst. 1113.1).

System owners, in collaboration with the Information System Security Officers (ISSOs), should complete the **Initial Privacy Assessment (IPA)** prior to filling out the PIA. The FCC Senior Agency Official for Privacy (SAOP) uses the IPA to determine whether a system will collect the kind of information that would make it subject to the requirements of Section 208, including a PIA. A PIA should not be completed until an IPA is completed and the SAOP makes a determination.

If you have any questions, please contact the Privacy Team at privacy@fcc.gov.

¹ 44 U.S.C. § 3501 note.

² OMB Memorandum No. M-03-22 (Sep. 26, 2003), <https://www.whitehouse.gov/wp-content/uploads/2017/11/203-M-03-22-OMB-Guidance-for-Implementing-the-Privacy-Provisions-of-the-E-Government-Act-of-2002-1.pdf>.

2. Authority To Operate (ATO) Boundary Overview

For each IT system that resides within the ATO Boundary, please use the table below to provide the system name, a brief description of the what the system does, whether it contains Personally Identifiable Information (PII) and a brief description of the PII (if applicable), the applicable System of Records Notice, the legal authorities to collect and maintain the PII, and whether the PII is shared with other systems (internal or external).

INFORMATION ABOUT THE SYSTEM
<p>NAME OF THE SYSTEM</p> <p>Auction Bidding System (ABS)</p>
<p>NAME OF BUREAU</p> <p>Office of Economics and Analytics (OEA)</p>
<p>DOES THE SYSTEM CONTAIN PII?</p> <p>Yes.</p>
<p>PLEASE PROVIDE A BRIEF DESCRIPTION OF THE PII (IF APPLICABLE)</p> <p>Full Name, Phone Numbers, Email Address, User ID. This information is related solely to the individual’s role as the company’s representative to bid in an auction. The phone number and email address are intended to be work, not personal, contact information.</p>
<p>IN WHAT SYSTEM OF RECORDS (SORN) IS THE INFORMATION CONTAINED (IF APPLICABLE)?</p> <p>PII is not retrieved in ABS by a unique identifier assigned to an individual (e.g. name, unique number, etc.); as such, a SORN is not required.</p>
<p>WHAT ARE THE LEGAL AUTHORITIES FOR THE COLLECTION OF THIS PII?</p> <p>31 U.S.C. 7701; and 47 U.S.C. 301, 303, 309, 312, 362, 364, 386, 507, and 510.</p>
<p>DOES THE COMMISSION KEEP AN ACCURATE ACCOUNTING OF DISCLOSURES FROM THE SYSTEM AS REQUIRED BY SUBSECTION (c) OF THE PRIVACY ACT?</p> <p>Not applicable. Auctions Bidding System (ABS) is not a system of records as that term is defined by the Privacy Act, 5 U.S.C. 552a(a)(5). The collection of business contact information is governed by an agencywide SORN, FCC-2, available here: https://www.fcc.gov/sites/default/files/sor-fcc-2.pdf</p>
<p>DOES THIS SYSTEM SHARE THE PII WITH OTHER SYSTEMS?</p> <p>No. ABS does not share PII with other systems. However, ABS receives PII from another FCC system via a flat file that is uploaded into ABS.</p>

INFORMATION ABOUT THE SYSTEM
<p>NAME OF THE SYSTEM Flexible Auction Bidding System (FABS)</p>
<p>NAME OF BUREAU Office of Economics and Analytics (OEA)</p>
<p>DOES THE SYSTEM CONTAIN PII? Yes.</p>
<p>PLEASE PROVIDE A BRIEF DESCRIPTION OF THE PII (IF APPLICABLE) Full Name, Phone Numbers, Email Address, User ID. This information is related solely to the individual's role as the company's representative to bid in an auction. The phone number and email address are intended to be work, not personal, contact information.</p>
<p>IN WHAT SYSTEM OF RECORDS (SORN) IS THE INFORMATION CONTAINED (IF APPLICABLE)? PII is not retrieved in FABS by a unique identifier assigned to an individual (e.g. name, unique number, etc.); as such, a SORN is not required.</p>
<p>WHAT ARE THE LEGAL AUTHORITIES FOR THE COLLECTION OF THIS PII? 31 U.S.C. 7701; and 47 U.S.C. 301, 303, 309, 312, 362, 364, 386, 507, and 510.</p>
<p>DOES THE COMMISSION KEEP AN ACCURATE ACCOUNTING OF DISCLOSURES FROM THE SYSTEM AS REQUIRED BY SUBSECTION (c) OF THE PRIVACY ACT? Not applicable. FABS is not a system of records as that term is defined by the Privacy Act, 5 U.S.C. 552a(a)(5). The collection of business contact information is governed by an agencywide SORN, FCC-2, available here: https://www.fcc.gov/sites/default/files/sor-fcc-2.pdf</p>
<p>DOES THIS SYSTEM SHARE THE PII WITH OTHER SYSTEMS? No. FABS does not share PII with other systems. However, FABS receives PII from another FCC system via a flat file that is uploaded into FABS.</p>

A. Is this a new ATO Boundary or an existing ATO Boundary?

- New Boundary
- Existing Boundary

B. If the ATO Boundary is/will consist of cloud-based computing system(s),³ please check the box that best describes the service the FCC receives/will receive from the cloud computing provider:

- The FCC uses provider-supported application/s on a cloud network specifically established for the boundary of the ABS and FABS systems and under the responsibility of the provider (Software as a Service or SaaS)

The vendor, Power Auctions LLC, provides FCC with the ABS and FABS Software as a Service product.

- The FCC has deployed application/s on the provider's cloud network and the provider supports the applications (Platform as a Service or PaaS)

The vendor, Power Auctions LLC, utilizes Amazon Web Services (AWS). It is a hybrid of the provider's and FCC's cloud network. It is a separate AWS infrastructure that is maintained by the Provider based on the contract the FCC has with the Provider. No other agency or system has access to the this cloud. It exists solely for the purpose of the ABS and FABS boundary.

- The FCC has deployed its own application/s on the cloud network and controls how these application/s are configured and operate (Infrastructure as a Service or IaaS)

The vendor, PowerAuctions, LLC, utilizes Amazon Web Services (AWS).

The Auctions Bidding boundary consists of the Auction Bidding System (ABS) and the Flexible Auction Bidding System (FABS). ABS and FABS are a hybrid of SaaS and PaaS and IaaS. They are maintained on the FCC's instance of AWS, although it is managed, maintained, and controlled by the provider, and is walled-off from all other systems. It is the provider's application and on the provider's platform. But FCC owns the data.

C. If the IT systems in the ATO Boundary are in the cloud, are they FedRAMP certified?

- Yes, all the IT systems are FedRAMP certified
- No, none, or only some, of the IT systems are FedRAMP certified
- Not applicable, ATO boundary is not Cloud based.

ABS and FABS are in the AWS Cloud but are cordoned off for designated FCC use for auction bidding activities. These systems receive an ATO through the FCC's ATO process. However, Amazon Web Services (AWS) is FedRAMP authorized.

³ See NIST, *The NIST Definition of Cloud Computing*, Special Pub. No. 800-145 (Sep. 2011), <https://csrc.nist.gov/publications/detail/sp/800-145/final>.

3. Collection of Data

A. Please explain why it is necessary to collect PII to carry out the purpose of each of the system(s) that maintain PII within this Boundary.

PII is contained and stored in ABS and FABS, but neither ABS nor FABS collects the information directly. The PII maintained in ABS and FABS allows the FCC to authorize bidding entities with up to 3 user accounts (Authorized Bidding Individuals) to bid in the FCC's auctions using various auction formats, such as Simultaneous Multiple Round (SMR), Sealed Bid, Reverse, Clock, and Assignment formats.

B. For each system within this Boundary, will this PII be collected from individuals themselves, or from third parties? If collected from individuals themselves, link to the Privacy Act Statement⁴ for each system that is included with the online or paper form the system(s) use(s) to collect the PII.

The systems within this Boundary do not collect PII from individuals or from third parties. The PII is imported from the Integrated Spectrum Auction System (ISAS), another FCC system.

C. What steps is the FCC taking to limit the collection of PII to only that which is necessary?

Neither ABS nor FABS collects information from the bidders; it is transferred from ISAS. ABS and FABS use the business contact information ingested from ISAS to collect and process bids in an auction. ISAS has a rigorous application review process that is conducted before anyone is allowed to bid in an auction within ABS or FABS.

D. What steps will the FCC take to make sure this PII is accurate, complete, and up to date?

Using the import feature ensures that the accurate, complete, and up-to-date information captured by ISAS is transferred over to the auctions bidding systems. The ABS and FABS team rely on the ISAS team, who in turn rely on the entities submitting information, to validate the PII.

⁴ A Privacy Act Statement must inform individuals about (1) the authority to solicit information, (2) the principal purpose(s) for collecting the information, (3) the routine uses for disclosing the information, and (4) whether providing the information is mandatory or voluntary.

4. Use of the Data

- A. Please explain the data flow, including whether the PII will be ingested from, or shared with, another system. Are internal connections reflected in the Cyber Security Asset Management tool (CSAM)? Are Information Sharing Agreements (ISAs) in CSAM for external connections?**

The FCC auctions bidding systems, ABS and FABS, receive PII in a flat file(s) that is exported from another FCC system: ISAS. This flat file is then uploaded into the database for ABS and FABS. The FCC utilizes ABS and FABS to collect and process bids. The ABS and FABS systems push non-PII data to the Public Reporting System (PRS) for public viewing. All internal connections are reflected within the Cyber Security Asset Management tool (CSAM).

- B. Will the information be shared with third parties as part of the operations of the information system (e.g., through an application programming interface or “API”)?**

The PII within ABS and FABS is not shared with other systems or third parties. Only non-PII data is made available.

- C. How long will the PII be retained and how will it be disposed of?**

Information in the systems within this boundary is retained and destroyed in accordance with applicable FCC policies and procedures, as well as with the FCC records disposition schedule or General Records Schedules approved by the National Archives and Records Administration (NARA).

5. Data Security and Privacy

- A. What are the system’s ratings for confidentiality, integrity, and availability?**

Confidentiality	<input type="checkbox"/> High	<input checked="" type="checkbox"/> Moderate	<input type="checkbox"/> Low
Integrity	<input type="checkbox"/> High	<input checked="" type="checkbox"/> Moderate	<input type="checkbox"/> Low
Availability	<input type="checkbox"/> High	<input checked="" type="checkbox"/> Moderate	<input type="checkbox"/> Low

- B. Discuss the physical, administrative, and technical controls in place to protect the data in the system.**

The FCC protects its information resources with a dynamic set of security measures. Some of these measures (e.g., network firewalls, physical security) protect the entire FCC enterprise, while other measures (e.g., user access restrictions, encryption) are applied to specific information systems. Following the risk-based policy established in the Federal Information Modernization Act (FISMA), the FCC applies more security measures (also known as security “controls”) to information systems that present higher

operational risks. Consistent with this policy, the FCC applies specific security controls to systems that collect and process PII. A comprehensive list of the security and privacy controls the FCC may apply to its information systems can be found in National Institute of Standards and Technology (NIST) Special Publication No. 800-53, Revision 5 [[NIST](#)].

- C. Does the system inherit privacy controls from an external provider? If an Interconnection Security Agreement (ISA), Memorandum of Understanding (MOU), or similar document is in place, please summarize the privacy applicable portions of the document.**

ABS and FABS inherit certain controls from the FedRAMP-authorized AWS environment on which they are maintained (including encryption of data at rest and in transit). But the AWS FedRAMP package has not been updated to reflect the NIST SP 800-53 rev 5 families, and therefore PT controls are not specifically identified.

6. Access to the Information

- A. Which FCC employees and contractors will have access to the PII in this information system?**

Only select/authorized FCC employees and contractors within the Auction Bidding System (ABS) & Flexible Auction Bidding System (FABS) will have access to the PII.

- B. Does this system leverage Enterprise Access Controls?**

Yes, all FCC common controls as they relate to FCC policy, e.g. AC-1.