

PRIVACY IMPACT ASSESSMENT (PIA)

PRESCRIBING AUTHORITY: DoD Instruction 5400.16, "DoD Privacy Impact Assessment (PIA) Guidance". Complete this form for Department of Defense (DoD) information systems or electronic collections of information (referred to as an "electronic collection" for the purpose of this form) that collect, maintain, use, and/or disseminate personally identifiable information (PII) about members of the public, Federal employees, contractors, or foreign nationals employed at U.S. military facilities internationally. In the case where no PII is collected, the PIA will serve as a conclusive determination that privacy requirements do not apply to system.

1. DOD INFORMATION SYSTEM/ELECTRONIC COLLECTION NAME:

Executive Office of the President Government Retirement Benefits Platform

2. DOD COMPONENT NAME:

Defense Information Systems Agency

Joint Service Provider

3. PIA APPROVAL DATE:

07/23/2021

SECTION 1: PII DESCRIPTION SUMMARY (FOR PUBLIC RELEASE)

a. The PII is: (Check one. Note: foreign nationals are included in general public.)

- | | |
|---|---|
| <input type="checkbox"/> From members of the general public | <input checked="" type="checkbox"/> From Federal employees and/or Federal contractors |
| <input type="checkbox"/> From both members of the general public and Federal employees and/or Federal contractors | <input type="checkbox"/> Not Collected (if checked proceed to Section 4) |

b. The PII is in a: (Check one)

- | | |
|--|---|
| <input type="checkbox"/> New DoD Information System | <input type="checkbox"/> New Electronic Collection |
| <input checked="" type="checkbox"/> Existing DoD Information System | <input type="checkbox"/> Existing Electronic Collection |
| <input type="checkbox"/> Significantly Modified DoD Information System | |

c. Describe the purpose of this DoD information system or electronic collection and describe the types of personal information about individuals collected in the system.

The Government Retirement and Benefits Platform is an automated, secure, self-service web application that allows government employees to review general and personal benefits information and calculate their own retirement estimates.

The GRB Platform allows employees to make changes to Federal Employee Health Benefits (FEHB), Federal Employee Government Life Insurance (FEGLI), and Thrift Savings Plan (TSP) contribution elections and Open Season changes.

The GRB Platform continues to provide the same basic functionality as EBIS, but with more user-friendly features, and is/will be Personal Identity Verification (PIV) compliant.

The OPF and other general personnel records files are the official repository of the records, reports of personnel actions, and the documents and papers required in connection with these actions effected during an employee's Federal service. The personnel action reports and other documents, some of which are filed as long-term records in the OPF, give legal force and effect to personnel transactions and establish employee rights and benefits under pertinent laws and regulations governing Federal employment.

These files and records are maintained by OPM and the agencies for the Office in accordance with Office regulations and instructions. They provide the basic source of factual data about a person's Federal employment while in the service and after his or her separation. Records in this system have various uses by agency personnel offices, determining status, eligibility, and employee's rights and benefits under pertinent laws and regulations governing Federal employment; and other information needed to provide personnel services. These hard-copy records and their automated equivalent may also be used to determine the individuals eligibility and status of human resource benefits and entitlements.

Types of personal information collected in the system is from the individual whether in paper form and/or automated system are as follows:
Enrollee's Information: Employee Name (Last Name, First Name, Middle Name and/or Middle Initial), Date of Birth (MM/DD/YYYY), Social Security Number, Sex, Home Address (Street Address, City, State, Zip Code), Home Phone Number, Email Address (Home or Work), Day Time Phone Number (Home or Work), Office Identification (Organization, Department or Agency) Workplace (City, State and Zip Code), OWCP Claim (if applicable), Medicare Coverage, Medicare Claim Number, Identification of Other Covered Insurance (Type of Insurance, Name of Other Insurance, Policy Number) Plan Name and Enrollment Code, Thrift Savings Plan Contributions (Dollar Amount or Percentage).

Spouse and Child Information: Name (Last, First, Middle Initial), Social Security Number, Date of Birth (MM/DD/YYYY), Sex, Relationship Code (01 - Spouse, 19 - Child under Age 26, 09 - Adopted Child under Age 26, 17 - Stepchild under Age 26, 10 - Foster Child under Age 26, 99 - Disabled Child age 26 or older who is incapable of self support because of a physical or mental disability that began before his/her 26th Birthday), Home Address (If Different from the Enrollee), Email Address (If Applicable, Enter Email Address of Spouse or Adult Child), Preferred Telephone Number (If Applicable, enter Preferred Phone Number of Spouse or Adult Child), Medicare Coverage, Medicare Claim Number, Identification of Other Covered Insurance (Type of Insurance, Name of Other Insurance, Policy Number).

d. Why is the PII collected and/or what is the intended use of the PII? (e.g., verification, identification, authentication, data matching, mission-related use, administrative use)

PII data is collected in order for government employees to select, change or decline their Human Resources benefits and, is utilized for verification, authentication, identification, data matching, providing to the benefits carriers (old and new), and for administrative use. The principle use of the information will be to share with the health insurance carrier selected by the enrollee so that they may:

- (1) Identify the enrollment plan,
- (2) Verify the individual and/or family members' eligibility for payment or a claim for health benefit services or supplies, and
- (3) Coordinate payment of claims with other carriers with whom the individual might also make a claim against for payments of benefits.

Routine uses of records maintained within the system and hard copy paper format, to include categories of users and the intended use of the PII data includes, but is not limited to, the following purposes:

The information may be shared and is subject to verification, via paper, electronic media, or through the use of computer matching programs with national, state, local or other charitable or social security administrative agencies, in order to determine benefits under their programs, to obtain information necessary for determination or continuation of benefits under their programs, to obtain information necessary for determination or continuation of benefits under this program, or to report income for tax purposes.

It may also be shared and verified, as noted above, with law enforcement agencies when they are investigating a violation or potential violation of civil or criminal law.

Furnishing the Social Security number, as well as other data, is voluntary, but failure to do so may delay or prevent action on the application.

e. Do individuals have the opportunity to object to the collection of their PII? Yes No

- (1) If "Yes," describe the method by which individuals can object to the collection of PII.
- (2) If "No," state the reason why individuals cannot object to the collection of PII.

Individual(s) must complete the Federal Employees Health Benefits (FEHB), Federal Employee Group Life Insurance (FEGLI), and the Thrift Savings Plan (TSP) forms as part of the in-processing with the Federal Government workforce, which can be completed either in a hard copy form and/or within the Government Retirement Benefits (GRB) Platform application, which automates twenty-six (26) Human Resource Benefits forms.

f. Do individuals have the opportunity to consent to the specific uses of their PII? Yes No

- (1) If "Yes," describe the method by which individuals can give or withhold their consent.
- (2) If "No," state the reason why individuals cannot give or withhold their consent.

Information is collected directly from the individual whether in a paper and/or automated form. The information provided within the HR Benefits forms documents the individuals enrollment in the Federal Employees Health Benefits (FEHB) Program.

g. When an individual is asked to provide PII, a Privacy Act Statement (PAS) and/or a Privacy Advisory must be provided. (Check as appropriate and provide the actual wording.)

- Privacy Act Statement Privacy Advisory Not Applicable

The hard copy HR Benefits forms can be manually completed by the enrollee and/or the enrollee can choose to complete their application(s) forms within the GRB Platform Application, which automatically generates the required HR Benefits form(s) based of the enrollees input. All forms contain either the "Privacy Act and/or Public Burden Statements and/or the Privacy Act Notice" on the paper copies and/or the auto-generated forms pertaining to the Federal Employee Health Benefits (FEHB), Federal Employee Group Life Insurance (FEGLI), and the Thrift Savings Plan (TSP).

h. With whom will the PII be shared through data exchange, both within your DoD Component and outside your Component? (Check all that apply)

- Within the DoD Component Specify. When EOP employees transfers to DOD Component.
- Other DoD Components Specify. When EOP employees transfers to Other DOD Components.

- Other Federal Agencies Specify. When EOP employees transfers to other Federal Agencies.
- State and Local Agencies Specify.
- Contractor (Name of contractor and describe the language in the contract that safeguards PII. Include whether FAR privacy clauses, i.e., 52.224-1, Privacy Act Notification, 52.224-2, Privacy Act, and FAR 39.105 are included in the contract.) Specify.
- Other (e.g., commercial providers, colleges). Specify. Health Insurance Carriers such as Blue Cross Blue Shield, Kaiser Permanente. etc.

i. Source of the PII collected is: (Check all that apply and list all information systems if applicable)

- Individuals Databases
- Existing DoD Information Systems Commercial Systems
- Other Federal Information Systems

j. How will the information be collected? (Check all that apply and list all Official Form Numbers if applicable)

- E-mail Official Form (Enter Form Number(s) in the box below)
- Face-to-Face Contact Paper
- Fax Telephone Interview
- Information Sharing - System to System Website/E-Form
- Other (If Other, enter the information in the box below)

Personally Identifiable Information (PII) is gathered in both paper format and automatically generated in an electronic format via the EBIS applications as described below:

OPM1515 - Military Service Deposit Election
 RI20-97- Estimated Earnings During Military Service
 SF1152 - Designation of Beneficiary
 SF2801- Application for Immediate Retirement (CSRS)
 SF2802 - Application for Refund of Retirement Deductions (CSRS)
 SF2803 - Application to Make Deposit or Redeposit (CSRS)
 SF2808 - Designation of Beneficiary (CSRS)
 SF2809 - Health Benefits Election Form
 SF2809 - TCC Addendum
 SF2817 - Life Insurance Elections (FEGLI)
 SF2818 - Continuation of Life Insurance Coverage (FEGLI)
 SF2820 - Certification of Insured Employee's Retired Status (FEGLI)
 SF2823 - Designation of Beneficiary (FEGLI)
 SF2825 - Information & Instructions for Completing an Application for Phased Retirement under the Civil Service Retirement System (CSRS)
 SF2826 - Information & Instructions for Completing an Application for Full Retirement Status (from Phased Retirement) under the Civil Service Retirement System (CSRS)
 SF3102 - Designation of Beneficiary (FERS)
 SF3106 - Application for Refund of Retirement Deductions (FERS)
 SF3107 - Application for Immediate Retirement (FERS)
 SF3108 - Application to Make Service Credit Payment (FERS)
 SF3112 - Documentation in Support Disability Retirement Application
 SF3116 - Phased Employment/Phased Retirement Status Elections
 SF3117 - Information & Instruction for Completing an Application for Phased Retirement under the Federal Retirement System (FERS)
 SF3118 - Information & Instruction for Completing an Application for Full Retirement Status (From Phased Retirement) under the Federal Retirement System (FERS)
 TSP-1 - Election Form (TSP)
 TSP-1C - Catch-up Contribution Election Form (TSP)
 TSP3 - Designation of Beneficiary (TSP)
 W-4P - Withholding Certificate for Pension or Annuity Payments

k. Does this DoD Information system or electronic collection require a Privacy Act System of Records Notice (SORN)?

A Privacy Act SORN is required if the information system or electronic collection contains information about U.S. citizens or lawful permanent U.S. residents that is retrieved by name or other unique identifier. PIA and Privacy Act SORN information must be consistent.

Yes No

If "Yes," enter SORN System Identifier Office of Personnel Management (OPM)/C

SORN Identifier, not the Federal Register (FR) Citation. Consult the DoD Component Privacy Office for additional information or <http://dpcl.dod.mil/Privacy/SORNs/>

or

If a SORN has not yet been published in the Federal Register, enter date of submission for approval to Defense Privacy, Civil Liberties, and Transparency Division (DPCLTD). Consult the DoD Component Privacy Office for this date

If "No," explain why the SORN is not required in accordance with DoD Regulation 5400.11-R: Department of Defense Privacy Program.

l. What is the National Archives and Records Administration (NARA) approved, pending or general records schedule (GRS) disposition authority for the system or for the records maintained in the system?

(1) NARA Job Number or General Records Schedule Authority. GRS 5.2, Item 010

(2) If pending, provide the date the SF-115 was submitted to NARA.

(3) Retention Instructions.

m. What is the authority to collect information? A Federal law or Executive Order must authorize the collection and maintenance of a system of records. For PII not collected or maintained in a system of records, the collection or maintenance of the PII must be necessary to discharge the requirements of a statute or Executive Order.

(1) If this system has a Privacy Act SORN, the authorities in this PIA and the existing Privacy Act SORN should be similar.

(2) If a SORN does not apply, cite the authority for this DoD information system or electronic collection to collect, use, maintain and/or disseminate PII. (If multiple authorities are cited, provide all that apply).

(a) Cite the specific provisions of the statute and/or EO that authorizes the operation of the system and the collection of PII.

(b) If direct statutory authority or an Executive Order does not exist, indirect statutory authority may be cited if the authority requires the operation or administration of a program, the execution of which will require the collection and maintenance of a system of records.

(c) If direct or indirect authority does not exist, DoD Components can use their general statutory grants of authority ("internal housekeeping") as the primary authority. The requirement, directive, or instruction implementing the statute within the DoD Component must be identified.

Authorities to Collect PII Data are as follows:

OPM/GOVT-1

Executive Order 9397 (November 22, 1943) authorizes use of the Social Security numbers to distinguish between the applicant and people with similar names.

Executive Order 13478 (November 18, 2009) allows Federal agencies to use Social Security numbers as an individual identifiers to distinguish between people of same or similar names.

Title 5, U.S. Code 83, Civil Service Retirement Law authorizes the solicitation of the information.

Title 5, U.S. Code 83, Section 8336a, Civil Service Retirement Law authorizes the solicitation of the information.

Title 5, U.S. Code 84, Federal Employees Retirement Law authorizes the solicitation of the information.

Title 5, U.S. Code, Chapter 84, Section 8412a, Federal Employees Retirement Law authorizes of the information.

Title 5, U.S. Code, Chapter 87, of Federal Employees Group Life Insurance, authorizes the solicitation of this information.

Title 5, U.S. Code Chapter 89, Federal Employees Health Benefits Law authorizes the solicitation of the information.

Title 5, U.S.C. 5581, 5582, 5583, Designation of Beneficiary relates solely to money due, and in no way will affect the disposition of any benefits which may become payable under the

Retirement or Group Life Insurance Actions applicable to Government Service.

Title 5, U.S. Code, 8424, Authorizes solicitation of this information.

Code of Federal Regulations, Part 178, Subpart B, allows for the solicitation of this information.

Public Law 98-615

Public Law 100-654

Public Law 102-484

Public Law 104-106

Public Law 104-134 (April 26, 1996) requires that any person doing business with the Federal government furnish a Social Security Number or tax identification number. This is an amendment to title 31, Section 7701.

Public Law 98-615, which establishes the spousal consent requirement, authorizes solicitation of this information.

Public Law 99-335, which established current and former spouse notification requirements, authorizes solicitation of this information.

Public Law 110-173, Section 111, Mandatory Insurer law requires your health insurance carrier to report your Social Security Number or your Medicare Claim Number in order to properly coordinate benefits between your health plan and Medicare.

Section 6055 of the Internal Revenue Code requires your health insurance plan to report, to the Internal Revenue Service (IRS), information necessary to confirm that you and your covered family members have minimum essential coverage from your health plan. The information required from your health insurance plan includes a Social Security Number for yourself and each of your covered family members.

n. Does this DoD information system or electronic collection have an active and approved Office of Management and Budget (OMB) Control Number?

Contact the Component Information Management Control Officer or DoD Clearance Officer for this information. This number indicates OMB approval to collect data from 10 or more members of the public in a 12-month period regardless of form or format.

Yes No Pending

(1) If "Yes," list all applicable OMB Control Numbers, collection titles, and expiration dates.

(2) If "No," explain why OMB approval is not required in accordance with DoD Manual 8910.01, Volume 2, "DoD Information Collections Manual: Procedures for DoD Public Information Collections."

(3) If "Pending," provide the date for the 60 and/or 30 day notice and the Federal Register citation.

OMB FORMS, OPM may not collect this information, and you are not required to respond, unless the form displays the OMB Form number.

OMB Number, 3206-0128: Applications for Refund of Retirement Deductions Civil Service Retirement System (CSRS), Standard Form 2802 (SF-2802) and Current/Former Spouse's Notification of Application of Retirement Deductions under the Civil Service Retirement System (CSRS) Standard Form (SF) 2808A (SF-2802A), is currently valid.

OMB Number, 3206-0134: Application to Make a Deposit or Redeposit, Standard Form (SF) 2803 (SF-2803) and Application to Pay Military Deposit, Military Service Performed After December 31, 1956 Standard Form (SF) 2803A (SF-2803A), is currently valid.

OMB Number, 3206-0134: Application to Make Service Credit Payment Federal Employees Retirement System (FERS), Standard Form (SF) 3108 (SF-3108) and Application to Pay Military Deposit, Military Service Performed After December 31, 1956 Federal Employees Retirement System (FERS) Standard Form (SF) 3108A (SF-3108A), is currently valid.

OMB Number, 3206-0136 Designation of Beneficiary Form Federal Employees' Group Life Insurance (FEGLI) Program Standard Form (SF) 2823 (SF-2823), is currently valid.

OMB Number, 3206-0142: Designation of Beneficiary Form Civilian Service Retirement System (CSRS) Standard Form (SF) 2808 (SF-2808), is currently valid.

OMB Number, 3206-0160: Health Benefits Form Federal Employees Health Benefits (FEHB) Standard Form (SF) 2809 (SF-2809), is currently valid.

OMB Number, 3206-0170: Application for Refund of Retirement Deductions, Federal Employees Retirement System (FERS) Standard Form (SF) 2809 (SF-2809), is currently valid.

OMB Number, 3206-0170: Application for Refund of Retirement Deductions FERS SF-3106 and is currently valid.

OMB Number, 3206-0173: Designation of Beneficiary Federal Employees Retirement System (FERS) Standard Form (SF) 3112 (SF-3112), is currently valid.

OMB Number, 3206-0228: Documentation in Support of Disability Retirement Application Standard Form (SF) 3102 (SF-3102), is currently valid.

OMB Number, 3206-0230: Federal Employee Group Life Insurance (FEGLI) Standard Form 2817 (SF-2817), is currently valid.

OMB Number 3206-0262: Report of Withholdings and Contributions for Health Benefits, Life Insurance and Retirement, is currently valid.