

**Pension Benefit Guaranty Corporation (PBGC)
Privacy Impact Assessment (PIA)**



My Plan Administration Account (My PAA)

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1 Privacy Point of Contact

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TIP!
 This point of contact should be the person you want the Privacy Office to work with in completing this PIA. For some systems it might be the Information Owner (IO) or Information System Owner (ISO). Many business units identify this as the Information System Security and Privacy Officer (ISSPO). DO what makes

2 Privacy Impact Assessment

A Privacy Impact Assessment (PIA) is an analysis of how information is/will be handled:

- i. To ensure handling conforms to applicable legal, regulatory, and policy requirements regarding privacy,
- ii. To determine risks and effects of collecting, maintaining, and disseminating information in an identifiable form in an electronic information system, and
- iii. To examine and evaluate protections and alternative processes for handling information to mitigate potential privacy risks.

Privacy concerns are highest for systems that contain Personally Identifiable Information (PII). PII is defined as information that can be used to distinguish or trace an individual's identity, either alone or when combined with other information that is linked or linkable to a specific individual. Because there are many types of information that can be used to

TIP!
 Information that either alone or when considered with other information that uniquely identifies a person is Personally Identifiable Information (PII). Combining pieces of information whether private or publicly available has powerful implications for uniquely identifying an individual.

distinguish or trace an individual's identity, the term PII is necessarily broad.

For example, consider a person named Mary Jones. There are over 200 million results in an internet search for this name. But if we combine information such as a date of birth, the last four digits of a (or worse, an entire) Social Security Number, or a spouse's name, the number of persons to whom we could be referring begins to narrow quite rapidly. These types of information are considered identifiers. Identifiers that uniquely identify a person are the focus of privacy protection.

1. All users were recertified by the Business Owner using the ITIOD's SailPoint tool.

2.1 The Components of the System

Name of component	Describe the component (1 or 2 sentences)	Does this component contain PII	In what system of records (SORN) is this information stored	What is the Legal Authority for collection of this information	Does this system share PII internally
MyPAA	The MyPAA Customer Portal allows pension plan practitioners to submit their premium filings, while the Agent Web allows for PBGC Agents to provide Customer Support, Account Management, and Plan Management.	Yes	PBGC-14, My Plan Administration Account Records – PBGC. 75 Fed. Reg. 37,842, 37,853.	29 U.S.C. §§ 1302, 1306, 1307, 1343, and 44 U.S.C. §§ 3101.	Yes, with the Premium Practitioner System (PPS)

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2.2 The System as a Whole

1. Please describe the purpose of the system, when considered as a whole, please include if this is an existing system (either an annual recertification update or a major change)

My Plan Administration Account allows pension plan practitioners to submit their premium filings electronically to the Pension Benefit Guaranty Corporation. The original My Plan Administration Account application system is comprised of two main components, the Customer Module and the Administrative Module. The My Plan Administration Account was modernized and is now running on Oracle Service Cloud as a Software as a Service product.

The new My Plan Administration Account provides the same services as the original My Plan Administration Account and does not divide the system into separate Modules. The new My Plan Administration Account is considered one whole system running on Oracle Service Cloud services. The My Plan Administration component that is available to practitioners is the Customer Portal, while the Agent Web is used by internal PBGC individuals to provide Customer Support, Account Management, and Plan Management. The Oracle Intelligent Advisor is used by PBGC internal users to model and deploy business rules, and the OIA users do not have access to the My PAA data.

2. What are the Confidentiality, Availability, and Integrity ratings for the system as a whole?

Confidentiality	Moderate
Integrity	Moderate
Availability	Moderate

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3. List and discuss the sources from which the system collects PII (for instance, from an individual, another federal agency, etc.); the format in which PII is collected (for instance, via a form, face-to-face, phone, etc.); the notification given at time of collection from an individual regarding the Privacy Act and the ability to opt-out of collection (and the consequences of opting out). Include a copy of all forms and Privacy Act statements used to collect information.

Individuals (Plan Administrators) submit filings electronically that contain the PII noted previously. Users are given a link to the Privacy Act Notices on the Homepage. Customers acknowledge the following statement:

My PAA users are given and must acknowledge the following banner in order to proceed with using the system: You are accessing a computer system operated by the Pension Benefit Guaranty Corporation, a wholly owned corporation of the United States Government. It is for authorized use only, in compliance with the PBGC Policy on the Use of Information Technology Resources and federal statutes, and when use is authorized, such use may not exceed the scope of authorization.

Use of this system is subject to audit, and all files and transmissions on this system may be intercepted, monitored, recorded, copied, or inspected to ensure that use is authorized, for management of the system, to facilitate protection against unauthorized access, to verify security procedures, and for such other purposes as may be deemed necessary, consistent with federal law. Unauthorized or improper use of this system may result in administrative action, civil, and/or criminal penalties. Any information collected during an audit or monitoring may be used in administrative, civil, or criminal actions and may be disclosed to authorized officials of other agencies, both domestic and foreign. Examples of unauthorized or improper use include, but are not limited to: uploading or changing the information presented on this system with intent to damage this system; attempting to gain unauthorized access to data; attempting to redirect authorized users away from this system; or attempting to deny service to authorized users.

By using this system, the user consents to the auditing, interception, monitoring, recording, copying, inspection, and disclosure as described above. Clicking below or otherwise continuing to use this system indicates your awareness of and consent to these terms and conditions of use. Leave this site, cease use or log off immediately if you do not agree to the conditions stated in this warning.

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4. Discuss any privacy controls that PBGC inherits from an external provider (cloud provider, third party provider, another government agency, etc.) If an Interconnection Security Agreement (ISA), Memorandum of Understanding (MOU), or similar document is in place, please summarize the privacy applicable portions of that document.

PBGC will not inherit privacy controls from Oracle Service Cloud. MyPAA will be hosted on Oracle Service Cloud and the details of the connection is documented in the System Security Plan, Contract, and Configuration document. There is also a MOU/ISA between Treasury and the credit card processing banks for Pay.gov with the Consolidated Financial System.

5. For the user roles in the system:

Oracle Intelligent Advisor Role Name	Number of Users in that role	Approver	Access Level (Read, Write, etc.)	Recertification Date¹
Hub Administrator	2	User's supervisor & ISO	Read, Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
Author (Default Collection)	2	User's supervisor & ISO	Read, Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
Manager	2	User's supervisor & ISO	Read, Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
Determinations API (Default Collection)	0	User's supervisor & ISO	Read, Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021

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Agent Web Role Name	Number of Users in that role	Approver	Access Level (Read, Write, etc.)	Recertification Date¹
MyPAA API	2	User's supervisor & ISO	Read, Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
My PAA Admin Knowledge Manager	4	User's supervisor & ISO	Read, Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
My PAA Agent CSR	20	User's supervisor & ISO	Read, Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
My PAA Agent Read Only	18	User's supervisor & ISO	Read	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
My PAA Developer	0	User's supervisor & ISO	Read, Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
My PAA Full Access	2	User's supervisor & ISO	Read, Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
My PAA Knowledge Owner Agent	7	User's supervisor & ISO	Read, Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
My PAA Security Report Users	2	User's supervisor & ISO	Write	All users on-board as of May 12, 2021 were recertified between May 12 and June 9, 2021
Filing Preparer	65285	Filing Coordinator	Read, Write	External users are not recertified, but accounts are disabled after 2 years of inactivity
Filing Coordinator	56597	Automated Approval as this is the default role.	Read, Write	External users are not recertified, but accounts are disabled after 2 years of inactivity

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Payment Preparer	28961	Filing Coordinator	Read, Write	External users are not recertified, but accounts are disabled after 2 years of inactivity
Actuary	23636	Filing Coordinator	Read, Write	External users are not recertified, but accounts are disabled after 2 years of inactivity
Plan Admin	19346	Filing Coordinator	Read, Write	External users are not recertified, but accounts are disabled after 2 years of inactivity
Plan Admin Rep	8414	Filing Coordinator	Read, Write	External users are not recertified, but accounts are disabled after 2 years of inactivity
Upload Preparer	17420	Filing Coordinator	Read, Write	External users are not recertified, but accounts are disabled after 2 years of inactivity

6. Does the System leverage the Enterprise Access Controls?

- Yes
 No

7. Discuss the Physical, Technical, and Administrative controls that are employed to secure the PII in the system.

MyPAA has the following Physical, Technical and Administrative controls in place

- (1) Physical controls - Identification badges, close circuit television, road barriers, security guards, visitor sign-in sheet, key cards, and safeguards for environment hazards.
- (2) Technical Controls - Password protection, two-factor authentication, virtual private network, firewalls, unique user Identification, single sign-on, encryption, and intrusion detection.
- (3) Administrative controls - Security audits, monitoring of administrator and user activity, refresher security, privacy, and role-based training, backups secured off-site, least privilege to restrict access to PII, and Personal Identity Verification.

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8. For the PII in the system, discuss the actual/intended uses of the PII; the steps taken to limit the PII collected to the minimum needed; and the reasons the PII is necessary and relevant.

MyPAA stores Names, Addresses and Telephone numbers. This is not considered PII as this information is displayed publicly. Email addresses and bank account numbers are the only sensitive information.

The My PAA account information is collected and used to:

- Authentic user access;
- Grant specific permissions or abilities within the online application;
- Monitor access controls; and
- Display certain multi-and single employer plan information on PBGC.GOV to help the public determine if a plan is covered by PBGC.

Where applicable, signatures and payment authorizations are acquired electronically from appropriate e-filing team members.

Per the System of Records (SORN),

Information about covered individuals may be disclosed without consent as permitted by the Privacy Act of 1974, 5 U.S.C. 522a(b), and:

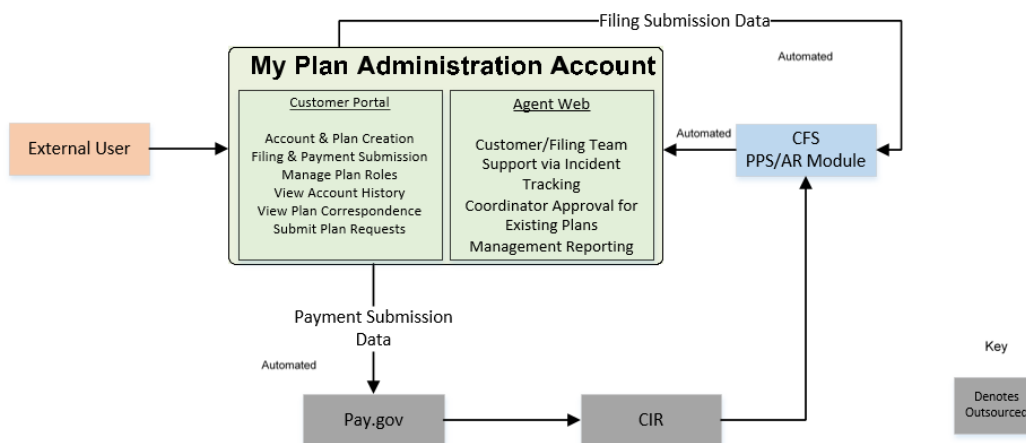
1. General Routine Uses G1, G4 through G7, G9, G10, and G12 through G14 apply to this system of records (see Prefatory Statement of General Routine Uses).

2. Names, addresses and phone numbers of plan sponsors, plan administrators, pension practitioners, actuaries and pension benefit professionals who submit plan information to My PAA may be disclosed to the public in order to ensure the public has access to contact information for those individuals submitting information regarding pension plans and those responsible for the administration of pension plans covered by the Employee Retirement Income Security Act of 1974 (ERISA).

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- Discuss the data flows within the system (include sources of data for data flowing into the system, destinations for data flowing out of the system, and any routine uses applicable to the system). For any information that is shared internally, be sure to discuss whether these data interconnections are noted in CSAM. Be sure to include any MOU, ISA, or Interagency Agreements.

My Plan Administration Account allows pension plan practitioners to submit their premium filings electronically to the Pension Benefit Guaranty Corporation. My Plan Administration Account is available 24 hours a day, seven days a week. Interconnection information including ISA and MOU are noted in CSAM. The following diagram depicts the data flow.



PBGC needs the information collected in the practitioner's premium filing to:

- Identify the plan and plan year for which the filing is made;
- Identify the type of premium being reported (estimated or final);
- Determine the amount of the premium due to the PBGC under the Title IV of the Employee Retirement Income Security Act of 1974 (ERISA) and the PBGC's premium filing regulations (29 CFR Parts 4006 and 4007); and
- Collect the originating IP address for forensic analysis.

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10. Does the system leverage the commonly offered control for Accounting of Disclosures?

- Yes
- No

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