

OPM CENTRAL-X

System Name:

Federal Competency Assessment Tool.

System Location(s):

Associate Director, Division for Human Capital Leadership and Merit System Accountability, U.S. Office of Personnel Management, 1900 E Street, NW., Washington, DC 20415-0001. Records pertaining to voluntary assessments of designated occupations such as leadership and human resources management are located on a contractor server. Records pertaining to pre-determined competencies (e.g., leadership, human resources management, or performance management) may be forwarded to designated agencies.

Categories of Individuals Covered by the System:

Current Federal employees who have voluntarily registered and completed the Federal Competency Assessment Tool.

Categories of Records in the System:

This system comprises voluntary self-assessments of competencies against a proficiency scale. The assessments are tied to user accounts, that contain (a) registration information that includes demographic data to help determine participation; (b) self assessment information; and (c) an assessment by the supervisor.

The registration information includes the following mandatory information:

- a. Registered users' e-mail address.
- b. User determined password.
- c. First name.
- d. Last name.
- e. Department/Agency to which the participant belongs.
- f. Pay plan.
- g. Grade.
- h. Occupational group/family.
- i. Occupational Specialty, if applicable.
- j. Work role, if applicable (e.g., executive, manager, supervisor, team lead).

The registration information also includes the following optional information:

- (a) Work address.
- (b) City.
- (c) State.
- (d) Zip code.

- (e) Country.
- (f) Work telephone.
- (g) Education level.
- (h) Estimated years until retirement.
- (i) Time in occupation.

Self assessment information includes the employee's determination of his/her proficiency level against a set of competencies using a proficiency scale. The assessment by the supervisor includes the supervisor's determination of a requesting employee's proficiency level and the desired proficiency level of the position using the same set of competencies and proficiency scale.

Authority for Maintenance of the System:

5 U.S.C. 1103, 1402, and 4117.

Executive Orders 9830 and 13197.

Purpose:

The Federal Competency Assessment Tool is a web-based instrument for assessing the proficiency levels of Federal employees in key competencies. The tools allow an individual to conduct a competency self assessment and supervisors to assess the competencies of their employees to determine competency strengths and areas for improvement. Agencies can use the results of the assessments to support their competency gap analyses, succession management, and development efforts.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of such Uses:

These records and information in these records may be used:

1. To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order when OPM becomes aware of an indication of a violation or potential violation of a civil or criminal law or regulation.
2. To disclose information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
3. To disclose information to another Federal agency or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, when the Government is a party to the judicial or administrative proceeding, and such information is deemed by OPM to be arguable, relevant and necessary to the litigation.
4. By the National Archives and Records Administration in records management and inspections.
5. To provide an official of another Federal agency information needed in the performance of official duties related to reconciling or reconstructing data files, compiling description statistics, and making analytical studies to support the function for which the records were collected and maintained.

6. By OPM, in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances, the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.
7. To disclose information to the Department of Justice or in a proceeding before a court, adjudicative body, or other administrative body before which OPM is authorized to appear, when:
 - a. OPM, or any component thereof; or
 - b. Any employee of OPM in his or her official capacity; or
 - c. Any employee of OPM in his or her individual capacity where the Department of Justice or OPM has agreed to represent the employee; or
 - d. The United States, when OPM determines that litigation is likely to affect OPM or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or OPM is deemed by OPM to be arguable relevant and necessary to the litigation.
8. To disclose information to officials of the Merit Systems Protection Board or the Office of the Special Counsel, when requested in connection with appeals, special studies of the civil service and other merit systems, review of OPM rules and regulations, investigations of alleged or possible prohibited personnel practices, and such other functions as promulgated in 5 U.S.C. 1205 and 1206, or as may be authorized by law.
9. To disclose information to the Equal Employment Opportunity Commission when requested in connection with investigations into alleged or possible discrimination practices in the Federal sector, examination of Federal affirmative employment programs, compliance by Federal agencies with the Uniform Guidelines of Employee Selection Procedures, or other functions vested in the Commission.
10. To disclose information to the Federal Labor Relations Authority or its General Counsel when requested in connection with investigations of allegations of unfair labor practices of matters before the Federal Service Impasses Panel.
11. To disclose information to the Office of Management and Budget at any stage of the legislative coordination and clearance process in connection with private relief legislation as set forth in OMB circular No. A-19.
12. To provide an official of another Federal agency information needed in the performance of official duties related to succession planning, workforce analysis, gap closure, competency development, recruitment and retention.
13. To disclose to a requesting Federal agency, information in connection with the hiring, retention, separation, or retirement of an employee; the issuance of a security clearance; the reporting of an investigation of an employee; the letting of a contract; the classification of a job; or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that OPM determines that the information is relevant and necessary to the requesting party's decision on the matter.

14. To provide individual users the ability to view self entered data on individual competency proficiency levels.

15. To provide reports to agencies on aggregate level data of proficiency levels in identified competencies across the Government.

16. To provide agency specific raw data reports to agencies on individual level data related to proficiency levels in identified competencies.

17. To disclose aggregate level data from the Federal Competency Assessment Tools via a governmentwide report.

18. To disclose information to contractors, grantees, or volunteers performing or working on a contract, service, grant, cooperative agreement, or job for the Federal government.

Policies and Practice for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

These records are maintained in a relational database management system hosted on a contractor's Internet server, accessed via a password-restricted system. Duplicate records also exist on magnetic tape back ups.

Retrievability:

Designated points of contact from the U.S. Office of Personnel Management and participating agencies can retrieve reports that aggregate the results of individual and supervisor assessments, without specifically identifying individuals. Agencies can request raw data reports that will contain the identity of individuals. An employee can retrieve individual reports (which contain a record of how the individuals assessed themselves, along with how the supervisor assessed the position). All reports are accessed via the Internet through a password-restricted system.

Safeguards:

These electronic records are maintained in controlled access areas. Identification cards are verified to ensure that only authorized personnel are present. Electronic records are protected by restricted access procedures, including the use of passwords and sign-on protocols which are periodically changed. Only employees whose official duties require access are allowed to view, administer, and control these records.

Retention and Disposal:

Completed verifications are archived to a storage disk nightly and retained on a server for five years. When records are purged from the server, the records are transferred to a CD or other electronic media. Records in electronic media are electronically erased. CD or other electronic media are maintained for five years.

System Manager(s) and Address(es):

Deputy Associate Director, Center for Human Capital Implementation and Assessment, Office of Personnel Management, 1900 E Street, NW., Washington, DC 20415-0001.

Notification Procedure:

Individuals wishing to inquire if this system contains information about them should contact the system manager or designee. Individuals must furnish the following information for their records to be located and identified:

- a. Name.
- b. Name and address of office in which currently and/or formerly employed in the Federal service.

Record Access Procedures:

Individuals wishing to request access to their records in this system should contact their agency point of contact or the system manager. Individuals must furnish the following information for their records to be located and identified:

- a. Name.
- b. Name and address of office in which currently and/or formerly employed in the Federal service.

Individuals requesting access must also follow OPM's Privacy Act regulations on verification of identity and access to records (5 CFR part 297).

Contesting Record Procedures:

Individuals wishing to request amendment of their records in this system should contact the agency point of contact or system manager. Individuals must furnish the following information for their records to be located and identified:

- a. Name.
- b. Name and address of office in which currently and/or formerly employed in the Federal service.

Individuals requesting amendment of their records must also follow OPM's Privacy Act regulations regarding verification of identity and amendment of records (5 CFR part 297).

Record Source Categories:

The information in this system is obtained from:

- a. The individual to whom the information pertains.
- b. The supervisor of the individual to whom the information pertains, upon that individual's request.

OPM CENTRAL-18

System Name:

Federal Employees Health Benefits Program Claims Data Warehouse.

System Location(s):

Office of the Inspector General, U.S. Office of Personnel Management, 1900 E Street, NW., Washington, DC 20415.

Categories of Individuals Covered by the System:

This system contains claims records on the Federal Employees Health Benefits Program (FEHBP). Participation in these programs is voluntary.

Participants in the FEHBP include Federal employees, Postal employees, annuitants under the Civil Service Retirement System and the Federal Employees Retirement System, former spouses, and their family members. Health care providers that submit claims to the FEHBP plans will also be stored in the system as part of the claims records. The Office of the Inspector General (OIG) has oversight responsibility under the Inspector General Act over the FEHBP.

Categories of Records in the System:

The records in the system may contain the following types of information on participating enrollees and covered dependents:

- a. Personally identifiable Information (PII) (Name, Social Security Number, Date of Birth, Gender, and FEHBP Member ID number).
- b. Home Address.
- c. Covered dependent information (Spouse, Dependents)--names and genders.
- d. Enrollee's employing agency.
- e. Names of health care providers including health care providers debarred under 5 U.S.C. 8902a.
- f. Health care provider address.
- g. Health Care Provider Taxpayer Identification Number (TIN) or identifier issued by a carrier.
- h. Health care coverage information regarding benefit coverage for the plan in which the person is enrolled.
- i. Health care procedure information regarding procedures performed on the individual.
- j. Health care diagnoses in the form of ICD codes, and treatments, including prescribed drugs, derived from clinical medical records.
- k. Provider charges, including amounts paid by the plan and amounts paid by the enrollee for the above coverage, procedures, and diagnoses.

Authority for Maintenance of the System:

The OIG is authorized to maintain FEHBP health claims information under § 6(a) of the Inspector General Act of 1978, as amended, 5 U.S.C. app. § 6(a). Authority is provided to OPM for maintenance of FEHBP health claims information by 5 U.S.C. 8910; 45 CFR 164.501, 164.512(d), which allow OPM access to records held by FEHBP contractors and require these contractors to submit reports on services provided to enrollees.

Purpose:

The primary purpose of this system of records is to provide a central database from which the OIG may use claims data from carriers for audit and investigative purposes to meet its oversight obligations under the Inspector General Act of 1978, as amended, 5 U.S.C. App., to detect fraud, waste and abuse in OPM programs. The Office of the Inspector General will use the data to detect and pursue fraud in the FEHBP and to audit the contracts with the various FEHBP carriers.

The secondary purpose of this system of records is to provide a mirror image of the Federal Employees Health Benefits Program Claims Data Warehouse data feeds to OPM so it can establish a central database (OPM/Central-15) from which it may analyze FEHBP data and actively manage the FEHBP to ensure the best value for the enrollees and taxpayers. OPM will collect, manage, and analyze health services data provided by FEHBP carriers.

Routine Uses of Records Maintained in the System, Including Categories of Users and the Purposes of such Uses:

Only routine uses 1, 7, and 11 of the Prefatory Statement at the beginning of OPM's current Systems of Record notice apply to the records maintained within this system.

1. For Law Enforcement Purposes--To disclose pertinent information to the appropriate Federal, State, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where OPM becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation.

7. For Litigation--To disclose information to the Department of Justice, or in a proceeding before a court, adjudicative body, or other administrative body before which OPM is authorized to appear, when:

(1) OPM, or any component thereof; or

(2) Any employee of OPM in his or her official capacity; or

(3) Any employee of OPM in his or her individual capacity where the Department of Justice or OPM has agreed to represent the employee; or

(4) The United States, when OPM determines that litigation is likely to affect OPM or any of its components; is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice or OPM is deemed by OPM to be relevant and necessary to the litigation provided, however, that the disclosure is compatible with the purpose for which records were collected.

11. For Non-Federal Personnel--To disclose information to contractors, grantees, or volunteers performing or working on a contract, service, grant, cooperative agreement, or job for the Federal Government.

The routine uses listed below are specific to this system of records only:

1. To disclose information to another Federal agency, to a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency, when the Government is a party to the judicial or administrative proceeding.
2. To disclose information to the contractor that originally provided the data to audit health care claims or investigate fraud.

Policies and Practice for Storing, Retrieving, Accessing, Retaining, and Disposing of Records in the System:

Storage:

These records will be maintained in electronic systems.

Retrievability:

These records are retrieved by various means:

1. Name, address, and/or social security number of an individual enrollee or patient,
2. Name, address, and/or TIN or other identifier of health care providers,
3. Claim payment information, and
4. Diagnostic or other procedure codes.

Safeguards:

The system will be located within space controlled by the OIG in OPM Headquarters. All employees and contractors are required to have an appropriate background investigation before they are allowed physical access to OIG office spaces and access to the system. The system is in a secured space that is equipped with a two factor authorization device, restricting access to authorized personnel only and has alarms to alert security personnel if unauthorized access is attempted. OPM employs armed physical security guards 365 days a year, 24 hours a day that patrol OPM Headquarters, to include every entry/exit point. Closed Circuit Video cameras are strategically located on every floor and external to the facility. Multiple layers of computer firewalls are maintained to prevent access by unauthorized personnel. The system employs National Institute of Standards and Technology (NIST) technical, physical and environmental Security Controls identified in Special Publication (SP) 800-53 revision 3. The OIG will perform an Assessment and Authorization following the NIST 800-53 revision 3 standard in order to obtain an Authority to Operate (ATO). The OIG will operate the system in compliance with the Privacy Act, Federal Information Security Management Act (FISMA) and NIST guidance. Transmission of the data feed from the carriers to this system is encrypted in compliance with NIST Federal Information Processing Standards Publication 197.

The OPM Health Claims Data Warehouse is hosted on the OIG IT systems, however the operation of, maintenance of, and security of the OPM Health Claims Data Warehouse is the responsibility of OPM not the OIG. Notice to the public of the OPM Health Claims Data Warehouse system of records is contained in a separate System of Records Notice.

Retention and Disposal:

Records in this system will be retained for at least 7 years but may be maintained for a longer period as required by litigation or open investigations or audits. Computer records are destroyed

by electronic erasure. A records retention schedule is being established with the National Archives and Records Administration (NARA).

System Manager(s) and Address(es):

The system manager is the Chief, Information Systems Audit Group, Office of the Inspector General, 1900 E Street, NW., Room 6400, Washington, DC 20415-1100.

Individuals wishing to determine whether this system of records contains information about them may do so by writing to the U.S. Office of Personnel Management, FOIA/PA Requester Service Center, 1900 E Street, NW., Room 5415, Washington, DC 20415-7900 or by e-mailing *foia@opm.gov*.

Individuals must furnish the following information for their records to be located:

1. Full name.
2. Date and place of birth.
3. Social Security Number.
4. Signature.
5. Available information regarding the type of information requested.
6. The reason why the individual believes this system contains information about him/her.
7. The address to which the information should be sent.

Individuals requesting access must also comply with OPM's Privacy Act regulations regarding verification of identity and access to records (5 CFR 297).

Contesting Record Procedures:

Individuals wishing to request amendment of records about them should write to the Office of Personnel Management, FOIA/PA Requester Service Center, 1900 E Street, NW., Room 5415, Washington, DC 20415-7900. *Attn:* Office of Inspector General.

Individuals must furnish the following information in writing for their records to be located:

1. Full name.
2. Date and place of birth.
3. Social Security Number.
4. City, state, and zip code of their Federal Agency.
5. Signature.
6. Precise identification of the information to be amended.

Individuals requesting amendment must also follow OPM's Privacy Act regulations regarding verification of identity and amendment to records (5 CFR 297).

Record Source Categories:

Information in this system of records is obtained from health care insurers contracted by the U.S. Office of Personnel Management as FEHBP carriers.

Exemptions Claimed for the System:

None.

