



Department of Homeland Security

Social Security Number Fraud Prevention Act

Initial Report to Congress

Submitted by the DHS Privacy Office

July 19, 2018



Homeland
Security

FOREWORD

July 19, 2018

I am pleased to present the initial report to Congress as required by the *Social Security Number Fraud Prevention Act of 2017* (“Act”).¹

In order to comply with the Act’s prohibition on the inclusion of a full Social Security number (SSN) in documents sent by mail, unless expressly identified as necessary by the Secretary of the Department of Homeland Security (DHS or Department), the DHS Privacy Office plans to implement a multi-phased effort to identify, inventory, analyze, and restructure the use of SSNs in mailed correspondence at the Department. This report describes that effort.



Additionally, the Department, led by the DHS Privacy Office, will use this opportunity to conduct a holistic review of its approach to the use of SSNs in an effort to further reduce the collection, maintenance, and use of this sensitive personal identifier. While the Department’s approach goes beyond what the Act requires, it will aid the Department in reducing the unnecessary collection and use of SSNs.

About the DHS Privacy Office

The *Homeland Security Act of 2002* charges the DHS Chief Privacy Officer with primary responsibility for ensuring that privacy protections are integrated into all DHS programs, policies, and procedures. The Chief Privacy Officer serves as the principal advisor to the DHS Secretary on privacy policy.

The *Privacy Act of 1974* (Privacy Act), the *Freedom of Information Act* (FOIA), and the *E-Government Act of 2002* require DHS to be transparent in its operations and use of information relating to individuals. The Privacy Office centralizes FOIA and Privacy Act operations to provide policy and programmatic oversight, and to support implementation across the Department. The Privacy Office undertakes these statutory and policy-based responsibilities in collaboration with DHS Component privacy² and FOIA officers, privacy points of contact (PPOC), and program offices to ensure that all privacy and disclosure issues are afforded the appropriate level of review and expertise.

Please direct any inquiries about this report to the Office of Legislative Affairs at 202-447-5890 or privacy@dhs.gov, or consult our website: www.dhs.gov/privacy.

¹ Pub. L. No. 115-59, 131 Stat. 1152 (2017)

² Most DHS Components have a Privacy Officer or Privacy Point of Contact. A complete list can be found here: <http://www.dhs.gov/privacy-office-contacts>.

Sincerely,

A handwritten signature in black ink, appearing to read "Philip S. Kaplan". The signature is fluid and cursive, with a long horizontal flourish extending to the right.

Philip S. Kaplan
Chief Privacy Officer
U.S. Department of Homeland Security

Pursuant to congressional notification requirements, this report is being provided to the following Members of Congress:

The Honorable Ron Johnson

Chairman, U.S. Senate Committee on Homeland Security and Governmental Affairs

The Honorable Claire McCaskill

Ranking Member, U.S. Senate Committee on Homeland Security and Governmental Affairs

The Honorable Michael McCaul

Chairman, U.S. House of Representatives Committee on Homeland Security

The Honorable Bennie G. Thompson

Ranking Member, U.S. House of Representatives Committee on Homeland Security

The Honorable Trey Gowdy

Chairman, U.S. House of Representatives Committee on Oversight and Government Reform

The Honorable Elijah Cummings

Ranking Member, U.S. House of Representatives Committee on Oversight and Government Reform

The Honorable Kevin Brady

Chairman, U.S. House of Representatives Committee on Ways and Means

The Honorable Richard Neal

Ranking Member, U.S. House of Representatives Committee on Ways and Means

The Honorable Jeb Hensarling

Chairman, U.S. House of Representatives Committee on Financial Services

The Honorable Maxine Waters

Ranking Member, U.S. House of Representatives Committee on Financial Services



Social Security Fraud Prevention Act of 2017 Initial Report to Congress

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LEGISLATIVE LANGUAGE

SECTION 1. SHORT TITLE.

This Act may be cited as the “*Social Security Number Fraud Prevention Act of 2017.*”³”

SEC. 2. RESTRICTION OF SOCIAL SECURITY NUMBERS ON DOCUMENTS SENT BY MAIL.

(a) RESTRICTION.—An agency may not include the social security account number of an individual on any document sent by mail unless the head of the agency determines that the inclusion of the social security account number on the document is necessary.

(b) REGULATIONS.—Not later than 5 years after the date of the enactment of this Act, the head of each CFO Act agency shall issue regulations specifying the circumstances under which inclusion of a social security account number on a document sent by mail is necessary. Such regulations shall include—

- (1) instructions for the partial redaction of social security account numbers where feasible; and
- (2) a requirement that social security account numbers not be visible on the outside of any package sent by mail.

(c) REPORT.—Not later than 30 days after the date of the enactment of this Act, and not later than the first, second, third, fourth, and fifth-year anniversary of such date of enactment, the head of each CFO Act agency shall submit to the Committee on Ways and Means and the Committee on Oversight and Government Reform of the House of Representatives, the Committee on Finance and the Committee on Homeland Security and Governmental Affairs of the Senate, and any other appropriate authorizing committees of the House of Representatives and the Senate, a report on the implementation of subsection (a) that includes the following:

- (1) The title and identification number of any document used by the CFO Act agency during the previous year that includes the complete social security account number of an individual.
- (2) For the first report submitted, a plan that describes how the CFO Act agency will comply with the requirements of subsection (a).
- (3) For the final report submitted, the title and identification number of each document used by the CFO Act agency for which the head of the agency has determined, in accordance with regulations issued pursuant to subsection (b), that the inclusion of a social security account number on such document is necessary, and the rationale for such determination.
- (4) For any other report that is not the first or final report submitted, an update on the implementation of the plan described under paragraph (2).

(d) DEFINITIONS.—In this section:

- (1) AGENCY.—The term “agency” has the meaning given that term in section 551 of title 5, United States Code, but includes an establishment in the legislative or judicial branch of the Government (except the Senate, the House of Representatives, and the Architect of the Capitol, and any activities under the direction of the Architect of the Capitol).
- (2) CFO ACT AGENCY.—The term “CFO Act agency” means the agencies listed in paragraphs (1) and (2) of section 901(b) of title 31, United States Code.
- (e) EFFECTIVE DATE.—Subsection (a) shall apply with respect to any document sent by mail on or after the date that is 5 years after the date of the enactment of this Act.

Approved September 15, 2017.

³ Pub. L. No. 115-59, 131 Stat. 1152 (2017).

I. BACKGROUND AND ANALYSIS

Inventory of DHS programs and systems authorized to collect and use the SSN

Pursuant to *DHS Privacy Policy and Compliance Instruction 047-01-001*,⁴ all staff seeking to implement or modify a system, program (including pilot programs), technology, form, or rulemaking are required to complete a Privacy Threshold Analysis (PTA), which serves as the official determination as to whether or not the system, program, technology, form, or rulemaking is privacy sensitive (i.e., involves the collection and use of personally identifiable information (PII)), and requires additional privacy compliance documentation. PTAs expire and must be reviewed and re-certified every three years, or when significant changes are made.

The purpose of a PTA is to:

- Identify forms, programs, and systems that are privacy-sensitive or collect Sensitive PII;
- Demonstrate the inclusion of privacy considerations during the review of a program or system;
- Provide a record of the program or system and its privacy requirements at the Department's Privacy Office; and
- Demonstrate compliance with privacy laws and regulations.

As part of the PTA review and adjudication process, and also required by *DHS Privacy Policy Guidance Memorandum 2007-02: Use of SSNs at DHS*,⁵ the Privacy Office asks if the system, program or form will collect and use SSNs, and, if so, requires the program manager to provide the statute or regulation authorizing the collection and use of SSNs. Per the annual reporting requirement mandated by the *Federal Information Security Modernization Act (FISMA)*, as of March 2018, DHS maintains an inventory of approximately 608 programs and systems that are authorized to collect and use the SSN.

Inventory of forms mailed via U. S. Postal Service (USPS) containing SSNs

Please consult the Appendix for a complete list of all forms containing full or partial SSNs mailed via USPS to DHS employees, contractors, or the public by DHS Components.

As of March 2018, 293 forms⁶ containing SSNs are mailed by seven DHS Components:

- 224 are non-DHS standard forms pertaining to benefits, security, or taxes, none of which DHS can alter or control.
- 69 DHS forms that may be altered to mask or truncate the SSN, or sent via more secure methods⁷ include:
 - CBP: 27 forms
 - FEMA: 6 forms
 - USCIS: 36 forms

⁴ <https://www.dhs.gov/publication/privacy-policy-and-compliance-instruction-047-01-001>

⁵ <https://www.dhs.gov/publication/privacy-policy-guidance-memorandum-2007-02-regarding-use-ssns-dhs>

⁶ This includes the same non-DHS forms mailed by multiple DHS Components. Duplicate forms are included in the total for tracking purposes.

⁷ For example, USCIS uses USPS Priority Mail® with Delivery Confirmation (DelCon) services.

II. IMPLEMENTATION PLAN

The Social Security Fraud Prevention Act requires DHS to implement a plan over the next five years to reduce the number of mailed forms containing SSNs. DHS will update and implement its policy on the use of SSNs to accomplish this goal and also to reduce the number of programs, systems, and forms that collect and use SSNs.

DHS Privacy Policy Guidance Memorandum 2007-02: Use of SSNs at DHS, states that “DHS programs shall collect, use, maintain, and disseminate SSNs only when required by statute or regulation, or pursuant to a specific authorized purpose.”

To address the specific requirements of the Act within the five year timeline, the DHS Privacy Office will work with the Components to amend this policy, as well as:

1. Require system owners, *even if their system is properly authorized* to collect SSNs, to use an alternative identifier. If there are technology impediments and/or legal or regulatory limitations to eliminating the SSN, the DHS Privacy Office will require privacy-enhancing alternatives, such as to mask/truncate the SSN, or block the display of SSNs on paper forms, correspondence, and computer screens. This is also mandated by Office of Management and Budget *Circular Number A-130: Managing Federal Information as a Strategic Resource*.
2. Require that *DHS-specific forms* containing SSNs that are mailed through USPS have the SSN partially redacted when feasible, or be sent via a more secure method, such as encrypted email or a trackable mailing service.

This revised policy will be implemented and enforced when PTAs for new or updated programs, systems, and forms are reviewed by the DHS Privacy Office as previously explained on page six.

APPENDIX

Listed here are documents containing full or partial SSNs mailed via the USPS to DHS employees, contractors, or the public.

Please note:

- Most of the legal authorities to collect or disseminate Social Security numbers reside with agencies other than the Department of Homeland Security.
- The same non-DHS forms mailed by multiple Components are included here for tracking purposes.

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
U.S. Customs and Border Protection: 78 total forms		
CBP FORMS = 27		
CBP Form 3461	Entry Immediate Delivery	19 CFR 142.3, 142.16, 142.22, 142.24, 149.3
CBP Form 257	PRIVACY ACT NOTICE FOR FINANCIAL DISCLOSURE REPORT	Executive Order Number 10450, issued pursuant to 5 United States Code 3301, 3333, 7301, and 7311. Executive Order 12674, 5 Code of Federal Regulations, Part 2634, Title 5 United States Code, 301 and 3101. Chapters 731, 735 and 736. Federal, Treasury and Customs Personnel Manuals.
CBP Form 258	PRIVACY ACT NOTICE FOR FINANCIAL DISCLOSURE REPORT	Executive Order Number 10450, as amended, reprinted as a Note to 5 U.S.C. 7311; Executive Order Number 12968; 5 Code of Federal Regulations Parts 732, 736.
CBP Form 301	Customs Bond	19 U.S.C. § 1484; 19 CFR §24.5
CBP Form 3078	Application for Identification Card	19 U.S.C. 66, 1551, 1555, 1565, 1624, 1641;
CBP Form 3124 and 3124E	Application for Customs Broker License or Permit	Authority to collect is 19 U.S.C. 1641; 5 U.S.C. 301 Reorganization plan no.1 of 1950 Treasury Department Order No. 165. Revised, as amended: 19 CFR 111.19 CFR 111.12
CBP Form 330A	EMPLOYEE CLAIM FOR LOSS OR DAMAGE TO PERSONAL PROPERTY	Directive 5350.019B lists the following statutes: 28

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
		USC 2401, 2671; 31 USC 3721, 3723, and 28 CFR Part 14.
CBP Form 334	EMPLOYEE RELOCATION EXPENSES AUTHORIZATION (CONUS)	Executive Order 9397 (SSN removed as of 5/24/2018)
CBP Form 334-1	EMPLOYEE RELOCATION EXPENSES AUTHORIZATION	Executive Order 9397 (SSN removed as of 5/24/2018)
CBP Form 3461	Entry/Immediate Delivery	19 U.S.C. § 1484; 19 CFR §24.5
CBP Form 409 and 409R	(PTSAT) Public Transportation System Application Tool	Executive Order 13150, IRS 26 Code of Fed Reg (CFR) Section 1.132-9
CBP Form 412	SUPPLEMENTAL INFORMATION FOR PAYMENTS ACCEPTED FROM NON-FEDERAL SOURCES	Authority of 31 U.S.C. Section 1353
CBP Form 425	NOTICE OF RANDOM DRUG TESTING SELECTION	Executive Order 12564, September 15, 1986. Public Law 100-71 § 503, July 11, 1987, codified at 5 U.S.C. § 7301
CBP Form 4606	Polygraph Waiver Release Form	Section 3 of the Anti-Border Corruption act of 2010 (Public Law 111-376)
CBP Form 4608	Request for Polygraph Examination	PL 93-579 (Privacy Act of 1974) This form is currently undergoing the CBP forms review process to include a programmatic authorizing statute
CBP Form 4815	Request, Authorization and Report for Overtime and Holiday Pay,	For job series 1895 and 0401, 19 CFR 24.16 governs their overtime and premium pay. For all others 5 USC chapter 55 subchapter V and 5 CFR Part 550, Subpart A – Premium Pay 5 CFR 550.111 (overtime) and 5 USC 5542 5 CFR 550.121 (night) 5 CFR 550.131 (holiday) 5 CFR 550.171 (Sunday)
CBP Form 4818	Request to Credit Official Compensatory Time Off for Travel (HRM)	Directive 51630-005 - The listed directive, which has been updated to version "005A" lists the following statutory and regulatory

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
		authorities: 5 USC 105, 5 USC 5541(2), and 5 CFR 550.1403.
CBP Form 5106	Importer ID Input Record	19 CFR 24.5
CBP Form 5125	Application for Withdrawal of Bonded Stores for Fishing Vessel and Certification	19 U.S.C. 1309, 1317; 19 CFR 10.59, 10.65; 27 CFR 290; CD 099-3260-050
CBP Form 523 and 523A	PRE-EMPLOYMENT FITNESS TESTING SCORE SHEET	Section 411, 412 and 414 of the Plant Protection Act (7 USC 7711, 7712 and 7714) and Sections 10404 through 10407 of the Animal Health Protection Act (7 USC 8303 through 8306). (SSN being removed as of 5/24/2018 and also records show this form is not online or available for employee use in the forms library)
CBP Form 55	DESIGNATION, CUSTOMS OFFICER (EXCEPTED)	CBP Directive 1510-002A
CBP Form 551	HEPATITIS B VACCINATION: CONSENT FORM	CBP's collection of information on these forms is covered under OPM/GOVT-1 General Personnel Records. This SORN sites the following authorities: 5 U.S.C. 1302, 2951, 3301, 3372, 4118, 8347, and Executive Order 9397, as amended by 13478, 9830, and 12107.
CBP Form 552	DECLINATION TO ACCEPT THE HEPATITIS B VACCINATION	
CBP Form 6100	Security Clearance Request	Pursuant to PL 93-579 (Privacy Act of 1974). This form is currently undergoing the CBP forms review process to include a programmatic authorizing statute
CBP Form 7501	Entry Summary	19 U.S.C. § 1484; 19 CFR §24.5
CBP Form 7520	Drawback Coding Sheet	Drawback HB 3700-01A19 CFR 191.5119 U.S.C. 1313(j) (1) or 19 U.S.C. 1313(j) (2) only.
CBP Form 77	CONTRACTOR EMPLOYEE INITIAL BACKGROUND INVESTIGATION	Executive Orders 10450 and 10577, sections 3301 and 3302 of title 5, U.S.

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
		Code; and parts 5, 731, 732 and 736 Title 5, Code of Federal Regulations.
NON-DHS FORMS = 51		
AD-334	Statement of Earnings and Leave; the SSN is fully redacted.	These are expected to be available to employees using the Employee Personal Page (EPP) through the U.S. Department of Agriculture (USDA). There are instances that information is requested beyond a period that is available in EPP or the employee no longer has access to EPP.
W-2s	Wage and Tax Statement; the SSN is partially redacted.	These are expected to be available to employees using the Employee Personal Page (EPP) through the U.S. Department of Agriculture (USDA); however, current/prior employees request copies after they are unable to access them electronically. They may be current or prior documents for various reasons. These are their personal tax documents.
1099INT (OMB No. 1545-0112)	Interest Income	General Instructions for Certain Information Returns (Forms 1096, 1097, 1098, 1099, 3921, 3922, 5498, and W-2G)
1099MISC (OMB No. 1545-0115)	Miscellaneous Income	General Instructions for Certain Information Returns (Forms 1096, 1097, 1098, 1099, 3921, 3922, 5498, and W-2G)
DD-214	Certificate of Release or Discharge from Active Duty	OPM authority
DG-05	Certified Copy of School Transcript	OPM authority
DG-39	VA Letter, Certifying 30% or More Disability Compensation for Veteran's Preference	OPM authority
DG-66	Record for Payments in Full for Military Deposits	OPM authority

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
FE 6	Claim for Death Benefits, Federal Employees' Group Life Insurance Program	OPM; Federal Employees Group Life Insurance (FEGLI) regulations are in Title 5 of the Code of Federal Regulations, Part 870.
FE 6 DEP	Statement of Claim – Option C Family Life Insurance	OPM; Federal Employees Group Life Insurance (FEGLI) regulations are in Title 5 of the Code of Federal Regulations, Part 870.
FE 7	FEGLI Claim for Dismemberment Benefits	OPM; Federal Employees Group Life Insurance (FEGLI) regulations are in Title 5 of the Code of Federal Regulations, Part 870.
NFC-1100	Notice of Overpayment of Salary and Demand for Payment for Non-Treasury Departments	Conform with the Debt Collection Act of 1982, as amended by the Debt Collection Improvement Act (DCIA) of 1996 and the Office of Management and Budget's (OMB) Circular No. A-129. The DCIA and OMB's Circular No. A-129 govern the requirements for managing and collecting non-tax debts.
NFC-631	Demand Notice for Payment	Conform with the Debt Collection Act of 1982, as amended by the Debt Collection Improvement Act (DCIA) of 1996 and the Office of Management and Budget's (OMB) Circular No. A-129. The DCIA and OMB's Circular No. A-129 govern the requirements for managing and collecting non-tax debts.
NFC-937	Notice of intent to Recover Past Due Health Benefit From Salary for Non-Treasury Departments	Conform with the Debt Collection Act of 1982, as amended by the Debt Collection Improvement Act (DCIA) of 1996 and the Office of Management and

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
		Budget's (OMB) Circular No. A-129. The DCIA and OMB's Circular No. A-129 govern the requirements for managing and collecting non-tax debts.
NFC-MyPay	Notice of Missed Payment	Conform with the Debt Collection Act of 1982, as amended by the Debt Collection Improvement Act (DCIA) of 1996 and the Office of Management and Budget's (OMB) Circular No. A-129. The DCIA and OMB's Circular No. A-129 govern the requirements for managing and collecting non-tax debts.
NFC-Ppay	Notice of Partial Payment	Conform with the Debt Collection Act of 1982, as amended by the Debt Collection Improvement Act (DCIA) of 1996 and the Office of Management and Budget's (OMB) Circular No. A-129. The DCIA and OMB's Circular No. A-129 govern the requirements for managing and collecting non-tax debts.
RI 20 124	Certification of Service Performed as a Law Enforcement Officer	OPM; 5 U.S.C. & 8412(d) Certification of CBPO "535" service, DHS Appropriation Act, Public Law 110-161 approved 12/26/2007
RI 20-97	Estimate Earnings During Military Service	OPM authority
SF 1152	Designation of Beneficiary – Unpaid Compensation of	OPM ; CFR Code of Federal Regulations 5 U.S.C 5581, 5582, 5583 (CFR)
SF 1153	Claim for Unpaid Compensation of Deceased Civilian Employees	OPM; CFR 5, 178, Subpart B
SF 2800	Application for Death Benefits (CSRS)	Office of Personnel Management; CSRS/FERS Handbook for Personnel and Payroll ; Civil Service Retirement law (Chapter 82, title 5, U.S. Code)

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
SF 2800 A	Documentation and Elections in Support of Applications for Death Benefits when deceased was an Employee at the Time of Death	OPM; 5 CFR 831; Civil Service Retirement law (Chapter 83, title 5, U.S. Code); the Federal Employees Group Life Insurance law (Chapter 87, title 5, U.S. Code), the Federal Employees Health Benefits law (Chapter 89, title 5, U.S. Code) and the Unemployment Compensation Amendments of 1992 (Public Law 102-318).
SF 2803	Application to make Deposit or Redeposit	OPM; Civil Service Retirement law (Chapter 83, title 5, U.S. Code); Title 5, U.S. Code Chapter 83,
SF 2804	Application to Make Voluntary Contributions, CSRS	OPM; Title 5, U.S. Code Chapter 83;
SF 2808	Designation of Beneficiary (CSRS)	OPM; 5 CFR 831; Civil Service Retirement law (Chapter 83, title 5, U.S. Code)
SF 2809	Employee Health Benefits Registration Form	OPM; Federal Employees Health Benefits Program under chapter 89 title U.S. Code
SF 2810	Notice of Change in Health Benefits Enrollment	OPM; CSRS/FERS Handbook for Personnel and Payrolls; Federal Employees Health Benefits Program under chapter 89 title U.S. Code
SF 2817	Life Insurance Election: FEGLI	OPM; Chapter 87, title 5, U.S. Code
SF 2818	Continuation of Life Insurance Coverage as an Annuitant or Compensation	OPM; Chapter 87, title 5, U.S. Code
SF 2819	Notice of Conversion Privilege, Federal Employee's Group Life Insurance Program	OPM, FEGLI Handbook for Personnel and Payroll offices; Title 5, United States Code, Chapter 87
SF 2821	Agency Certification of Insurance Status	OPM; FEGLI Handbook for Personnel and Payroll offices. Title 5, United States Code, Chapter 87
SF 2822	Request for Insurance	OPM; Chapter 87, title 5, U.S. Code Life Insurance

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
SF 2823	Designation of Beneficiary, Federal Employees' Group Life Insurance Program	OPM; FEGLI Handbook; Chapter 87, title 5, U.S. Code Life Insurance
SF 3102	Designation of Beneficiary, Federal Employees Retirement System (FERS)	OPM; 5 CFR 843.205; Civil Service Retirement law (Chapter 83, title 5, U.S. Code) and the Federal Employees Retirement law (Chapter 84, title 5, U.S. Code)
SF 3104	Application for Death Benefits	OPM; CSRS/FERS Handbook for Personnel and Payroll Offices; Federal Employees Retirement law (Chapter 84, title 5, U. S. Code)
SF 3106	Application for Refund of Retirement Deductions (FERS)	OPM; CSRS/FERS Handbook for Personnel and Payroll Offices; 5 U.S.C. 8424
SF 3107	Application for Immediate Retirement (FERS)	OPM; Federal Employees Retirement law, (Chapter 84, title 5, U.S. Code), the Federal Employees Group Life Insurance law (Chapter 87, title 5, U.S. Code) and the Federal Employee Health Benefits law (Chapter 89, title 5, U.S. Code)
SF 3108	Application to make Service Credit Payments (FERS)	OPM; CSRS/FERS Handbook for Personnel and Payroll Office's.; Title 5, U.S. Code, Chapter 84.
SF 3112	Documentation in Support of Disability Retirement Application	OPM; Civil Service Retirement law (Chapter 83, title 5, U.S. Code) and the Federal Employees Retirement law (Chapter 84, title 5, U.S. Code)
SF-1150	Record of Leave Data	U.S. Office of Personnel Management:
SF-144	Statement of Prior Federal Service	6303, "Leave Accrual" of Title 5 United States Code
SF-2809	Health Benefits Election Form	Title 5, U.S. Code, Chapter 84, Executive Order 13478, Section 6055 of the Internal Revenue Service Code
SF-2810	Notice of Change in Health Benefits Enrollment	Title 5, U.S. Code, Chapter 84, Executive

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
		Order 13478, Section 6055 of the Internal Revenue Service Code
SF-2821	Agency Certification of Insurance Status (Federal Employees' Group Life Insurance Program)	Title 5, U.S. Code, Chapter 84, Executive Order 13478, Section 6055 of the Internal Revenue Service Code
SF-3108	Application to Make Service Credit Payment (Federal Employees Retirement System)	U.S. Office of Personnel Management OPM Form. Executive Order 9397 authorizes the collection and use of SSNs.
SF-50	Notification of Personnel Action	U.S. Office of Personnel Management: Guide to Processing Personnel Actions,
SF-61	Appointment Affidavit	U.S. Office of Personnel Management:
SF-813	Verification of a Military Retiree's Service in NonWartime Campaigns or Expeditions	Sections 3502, "Retention Order," and 6303, "Leave Accrual" of Title 5 United States Code
TSP-1	Thrift Savings Plan Election Form	Title 5, U.S. Code Chapter 84
TSP-19	Thrift Savings Plan Transfer of Information Between Agencies	Title 5, U.S. Code Chapter 84
TSP-3	Thrift Savings Plan Designation of Beneficiary	Title 5, U.S. Code Chapter 84
Federal Emergency Management Agency: 49 TOTAL FORMS		
FEMA FORMS = 6		
FEMA form 121-3-1-6	Contractor Fitness/Security Screening Request	14 CFR 382.55, Executive Order 12721
FEMA 119-25-3	DHS/FEMA Student Stipend Agreement	Program and reimbursements authorized under the Federal Fire Prevention and Control Act of 1974, as amended, Title 15 U.S.C., Sections 2201 et.seq, and the Stafford Act, as amended, Title 42 U.S.C., Sections 5121 et. seq. The form also includes necessary Privacy Act disclosures.
FEMA 16-31	EMI IS Transcript Request Form	Request for transcript form authorized under section 611 of the Stafford Act, Pub.L. 93-

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
		288, (42 USC 5196). Form includes Privacy Act Statement. EMI currently uses Student Identification Numbers (SID) instead of student SSN. Occasionally colleges and universities require SSN or partial SSN to identify student for college credit and the form submitted to EMI will contain a student SSN. Accordingly, the form includes a Privacy Act Statement.
FEMA Form 121-2-1	Fingerprint Security Form	Fingerprint request form is used for security access. Authority: FEMA NETC Access Procedures, FEMA Directive 121-3, and FEMA Manual 121-3-1
FEMA	NCIC Checks	This form is used for security through the National Criminal Information Center. Authority: FEMA NETC Access Procedures, FEMA Directive 121-3, and FEMA Manual 121-3-1
FEMA Form 009-0-1 (English) and FEMA Form 009-0-2 (Spanish)	Applicant Registration Form	Stafford Act
NON-DHS FORMS = 43		
SF-312	Classified Information Non-Disclosure Agreement	32 CFR Part 2001.80, Executive Order 13526
OPM 630 Formerly Optional Form (OF) 630	Application to Become a Leave Recipient Under the Voluntary Leave Transfer Program	5 CFR 630 June 2001
Un-numbered non-government form	Tri-merge Credit Bureau Report	5 CFR 731; 5 CFR 1400; E.O. 12968; E.O. 13478
SF-87 rev 2013	Fingerprint Card	5 CFR 731; 5 CFR 1400; E.O. 12968; E.O. 13478
OPM 3206-0165	Investigative Request For Employment	Verify student records per request from OPM.
	Contractor Bid Worksheet	This form is used for contract instructor bids and contains SSN. Authority: Federal Acquisition Regulations
121-3-1-6, 4/13	CONTRACT FITNESS/SECURITY SCREENING REQUEST	AUTHORITY: 5USC 5701-5733, Sections 5701-5733

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS	
		and Executive Order 9397.	
IRS Form 1099-MISC	Miscellaneous Income	Required by IRS Regulations	
NFC Form 1100 TR	Notice of Overpayment of Salary and Demand for Overpayment	5 CFR 550 Subpart K	
	Child support orders and garnishments	5 CFR 581.402	
SF50	Notification of Personnel Action	OPM collects and maintains the information in eOPF pursuant to 5 U.S.C. §§ 1104, 1302, 2951, 3301, and 4315; E.O. 12107 (December 28, 1978), 3 CFR 1954-1958 Comp.; 5 U.S.C. 1104, and 1302; 5 CFR 7.2; Executive Orders 9830 and 12107; 3 CFR 1943-1948 Comp.; and 5 U.S.C. 2951(2) and 3301 authorize the maintenance of records the Government needs to make accurate employment decisions throughout an employee’s career.	
SF52	Request for Personnel Action		
SF144	Statement of Prior Service		
SF813	Verification of a Military Retiree's Service in Non-Wartime Campaigns and Expeditions		
SF1152	Designation of Beneficiary Unpaid Compensation		
SF1153	Claim for unpaid compensation of deceased employee		
SF2800 and 2800(A)	Application for Death Benefits (CSRS)		
SF2801	Application for Retirement (CSRS)		
SF2802	App. For Refund of Retirement Contributions (CSRS)		
SF2803	App. to make Deposit/Redeposit (CSRS)		
SF2804	App. To make Voluntary Contributions (CSRS)		
SF2806	Individual retirement record (CSRS)		
SF2808	Designation of Beneficiary CSRS		
SF2809	FEHB Enrollment form		
SF2810	Notice of change in FEHB		
SF2817	Designation of Beneficiary FEGLI		
SF2818	Continuation of FEGLI as Annuitant		
SF2819	Notice of Conversion Privilege FEGLI		
SF2821	Agency Certification of FEGLI coverage		
SF2822	Request for FEGLI		
SF3100	Individual retirement record (FERS)		
SF3102	Designation of Beneficiary (FERS)		
SF3104 and 3104B	App. For Death Benefits (FERS)		
SF3107	App. For Retirement (FERS)		
SF3108	App. To make Service Deposit (FERS)		
SF3112	Documents in Support of Disability Retirement		
OPM 1514	Military Deposit Worksheet		SORNs: The OPM/GOVT 1, General Personnel Records; OPM/GOVT 2, Employee Performance File System; and, OPM/GOVT 3, Records of Adverse Actions, Performance Based Reduction in Grade and Removal Actions, and Termination of Probationers SORNs apply to the information maintained in eOPF about Federal employees. The USDA/FSA 6, County Personnel Records, and USDA/OP-1, Personnel and Payroll System SORNs apply to the information maintained on non-Federal county employees for USDA.
OPM 1515	Military Service Deposit Election		
RI20-97	Estimated Earnings during military service		
FE-6	Claim for Death Benefits FEGLI		
FE-6 Dep	Dependent Settlement Claim for Option C Family Coverage		
FE-7	Claim for Dismemberment benefits		
SF127	Request for Personnel Folder		

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
Federal Law Enforcement Training Centers: 23 TOTAL FORMS		
NON-DHS FORMS = 23		
W-2	Wage and Tax Statement	IRS regulations
W-3	Transmittal of Wage and Tax Statements	IRS regulations
1099	Miscellaneous Income	IRS regulations
NFC-631	Demand Notice for Payment	USDA National Finance Center directives
DOL-449 (R-02/06) and related forms from the GA Department of Labor (DOL)	Administrative Hearing Appeals/Decisions	The GA DOL uses the claimant's name and last 4 of SSN as their docket tracking.
SF-2801	Application for Retirement (CSRS)	5 USC Chapters 83, 87 & 89
SF-3107	Application for Retirement (FERS)	5 USC Chapter 84
SF-2809	Employee Health Benefits Registration Form	5 USC Chapter 89
SF-2810	Notice of Change in Health Benefits Enrollment	5 USC Chapter 89
SF-2817	Life Insurance Election (FEGLI)	5 USC Chapter 87
SF-2818	Continuation of Life Insurance Coverage	5 USC Chapter 87
SF-2819	Notice of Conversion Privilege (FEGLI)	5 USC Chapter 87
SF-2821	Agency Certification of Life Insurance	5 USC Chapter 87
SF-2823	FEGLI Designation of Beneficiary	5 USC Chapter 87
SF-2808	Designation of Beneficiary, CSRS	5 USC Chapter 83
SF-3102	Designation of Beneficiary, FERS	5 USC Chapter 84
SF-3109	Election of Coverage (FERS)	5 USC Chapter 84
DD-214	Certificate of Release, or Discharge from Active Duty	DOD Instruction 1336.01
W-4P	Withholding Certificate for Pension or Annuity Payments	5 USC Chapter 83 & 84
RI20-97	Estimated Earnings During Military Service	US Office of Personnel Management
CA2A	Notice of Recurrence	5 USC 552a
OWCP-915	Claim for Medical Reimbursement	5 USC 552a
OWCP-957	Medical Travel Refund Request	5 USC 552a
United States Immigration and Customs Enforcement: 22 TOTAL FORMS		
NON-DHS FORMS = 22		
SF 2801-1 / SF 3107-1	Summary of Service	OPM Form
SF 2801 Sched. D / SF 3107 Sched D	Agency Checklist	OPM Form
SF 2809 / SF 2810	SF2809 Health Benefits Election Form-Temporary Continuation of Coverage.	OPM Form
SF 2821	Agency Certification of Life Insurance Status	OPM Form
SF 2818	Continuation of Life Insurance Coverage as an Annuitant or Compensation	OPM Form
SF 2817	Life Insurance Election Form (FEGLI)	OPM Form
SF 2819	Notice of Conversion Privilege, FEGLI	OPM Form

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
SF 2823	FEGLI Designation of Beneficiary Form	OPM Form
SF 2808 / SF 3102	Retirement System Designation of Beneficiary Form	OPM Form
SF 2801 / SF 3107	Application for Retirement	OPM Form
SF 2801-2 / SF 3101-2	Survivor Election, Former spouse/child Election	OPM Form
DD214 / DD215	Certificate of Release or Discharge from Active Duty / Correction to 214	OPM Form
SF 50	Notification of Personnel Action	OPM Form
SF 2803 (a) / SF 3108 (a)	Deposit Application or Military application	OPM Form
W4-P	Employee's Withholding Allowance Certificate	OPM Form
Word Document	MSD Worksheet and Application for Payment	OPM Form
AD 343	Payroll Action Request	OPM Form
DFAS- CL 1340/2	Estimated Earnings During Military Service	OPM Form
Medicare Form	Health Benefits Verification	At request of employee
W-2	Wage and Tax Statement	Employee request
SF 3106	Application for Refund of Retirement Deductions (FEGLI)	Separation Package
FS Form 197	Judgment Fund Voucher for Payment	The form has a space for the Taxpayer Identification Number, which is the social security number for individual claimants. This is a U.S. Department of the Treasury, Bureau of the Fiscal Service form. The authority is not indicated on the form. Recommend asking them for the authority.
National Protection and Programs Directorate: 17 TOTAL FORMS		
NON-DHS FORMS = 17		
Form AD-334	Leave and Earnings Statements	USDA Form
W-2	Wage and Tax Statement	IRS
1095-C Statements	Employer Provided Health Insurance Offer and Coverage	IRS Form
SF-2817	Life Insurance Election Form	OPM Form
SF-2818	Continuation of Life Insurance	OPM Form
SF-2823	Designation of Beneficiary Form FEGLI	OPM Form
SF-2821	Agency Certification of Insurance Status	OPM Form
SF-2810	Notice of Change in Health Benefits Enrollment	OPM Form
SF-813	Verification of a Military Retiree's Service in Non-Wartime Campaigns or Expeditions	OPM Form
SF-2809	FEHB Election Form	OPM Form
SF-3108	Application to Make Service Credit Payment	OPM Form
SF-3102	Designation of Beneficiary for FERS	OPM Form

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
SF-1152	Designation of Beneficiary for Unpaid Compensation	OPM Form
DD-214	Military Discharge/Separation Document	OPM Form
SF-3107	Application for Immediate Retirement – FERS	OPM Form
SF-2801	Application for Immediate Retirement – CSRS	OPM Form
SF-50	Notification for Personnel Action	OPM Form
United States Secret Service: 4 TOTAL FORMS		
NON-DHS FORMS = 4		
W-2	Wage and Tax Statement	IRS Publications
SSF 3300	United States Secret Service Medical Examination	5 C.F.R. Chapter 339
SSF 3300A	United States Secret Service Medical Examination Questionnaire	5 C.F.R. Chapter 339
N/A	Federal Drug Testing Custody and Control Form	Executive Order 12564, HHS Mandatory Guidelines for Federal Drug Testing
United States Citizenship and Immigration Services: 100 TOTAL FORMS		
USCIS FORMS = 36		
I-765	Application for employment authorization document (EAD)	Immigration and Nationality Act, 264(f)
I-551	Permanent Resident Card (PRC)	Immigration and Nationality Act
G-845	Verification Request	8 U.S.C. 1373(c)
I-90	Application to Replace Permanent Resident Card	Immigration and Nationality Act
I-102	Application for Replacement/Initial Nonimmigrant Arrival-Departure Document	Immigration and Nationality Act
I-129F	Petition for Alien Fiancé(e)	Immigration and Nationality Act
I-130	Petition for Alien Relative	Immigration and Nationality Act
I-131	Application for Travel Document	Immigration and Nationality Act
I-140	Immigrant Petition for Alien Worker	Immigration and Nationality Act
I-212	Application for Permission to Reapply for Admission into the United States After Deportation or Removal	Immigration and Nationality Act
I-360	Petition for Amerasian, Widow(er), or Special Immigrant	Immigration and Nationality Act
I-485	Application to Register Permanent Residence or Adjust Status	Immigration and Nationality Act section 212(a)(9)(A) or (C).
I-526	Immigrant Petition by Alien Entrepreneur	Immigration and Nationality Act
I-539	Application To Extend/Change Nonimmigrant Status	Immigration and Nationality Act

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
I-601/I-601A	Application for Waiver of Grounds of Inadmissibility/ Application for Provisional Unlawful Presence Waiver	Immigration and Nationality Act
I-612	Application for Waiver of the Foreign Residence Requirement (under Section 212(e) of the Immigration and Nationality Act, as Amended)	Immigration and Nationality Act
I-690	Application for Waiver of Grounds of Inadmissibility	Immigration and Nationality Act
I-694	Notice of Appeal of Decision Under Sections 245A or 210 of the Immigration and Nationality Act	Immigration and Nationality Act
I-698	Application to Adjust Status from Temporary to Permanent Resident (Under Section 245A of the INA)	Immigration and Nationality Act
I-751	Petition to Remove Conditions on Residence	Immigration and Nationality Act
I-765	Application for Employment Authorization	Immigration and Nationality Act
I-800/I-800A	Petition to Classify Convention Adoptee as an Immediate Relative/ Application for Determination of Suitability to Adopt a Child from a Convention Country	Immigration and Nationality Act
I-817	Application for Family Unity Benefits	Immigration and Nationality Act
I-821	Application for Temporary Protected Status	Immigration and Nationality Act
I-821D	Consideration of Deferred Action for Childhood Arrivals	Immigration and Nationality Act, section 101.
I-824	Application for Action on an Approved Application or Petition	Immigration and Nationality Act
I-829	Petition by Entrepreneur to Remove Conditions on Permanent Resident Status	Immigration and Nationality Act
I-864/I-864EZ	Affidavit of Support Under Section 213A of the INA/ Affidavit of Support Under Section 213A of the Act	Immigration and Nationality Act
I-912	Request for Fee Waiver	
I-941	Application for Entrepreneur Parole	AUTHORITY: 8 U.S.C. Section 1186a authorizes DHS to collect the information and associated evidence on this benefit petition.
N-300	Application to File Declaration of Intention	Immigration and Nationality Act
N-400	Application for Naturalization	Immigration and Nationality Act
N-470	Application to Preserve Residence for Naturalization Purposes	Immigration and Nationality Act

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
N-600/N-600K	Application for Certificate of Citizenship/ Application for Citizenship and Issuance of Certificate Under Section 322	Immigration and Nationality Act
I-730	Refugee/Asylee Relative Petition	Immigration & Nationality Act
I-134	Affidavit of Support	Immigration and Nationality Act
NON-DHS FORMS = 64		
NFC-1100	Notice of Salary Overpayment	5 CFR 550.1104
NFC-1101	Repayment Agreement	5 CFR 550.1104
Varies by Garnishment	Court Ordered Garnishments	Public Law 103-04 section 9
OPM-1514	Service Credit Payments for Post-1956 Military Service	FERS/CSRS regulations
DD-214	Certificate of Release or Discharge from Active Duty	OPM
AD-343	Payroll Action Request	OPM
SF-2803	Application to Pay Military Deposit(CSRS)	FERS/CSRS regulations
SF-3108	Application to Make Service Credit Payment (FERS)	FERS/CSRS regulations
W2	Wage and Tax Statement	IRS publications
AD-717	Audit for Leave	OPM
SF-85 (rare)	Questionnaire for Non-Sensitive Positions	OPM
SF-85P	Questionnaire for Public Trust Positions	OPM
SF-86	Questionnaire for National Security Positions	OPM
OF-306	Declaration of Federal Employment	OPM
Printed eOPF Records sent out overnight UPS	All docs contained in file	OPM
SF-50	Personnel Action	OPM
SF-2810	Change in Health Benefits Enrollment	5 USC Chapter 89
SF-2819	Notice of Conversion Privilege - FEGLI	5 USC Chapter 87
SF-127 either Faxed or electronic	Records Requests to NPRC or losing agencies for prior service records	OPM
SF 52	Request for Personnel Action	The Guide to Processing Personnel Actions
SF 1152	Designation of Beneficiary – Unpaid Compensation of Deceased Civilian Employee	5 USC 5581 - 5583
SF 1153	Claim for Unpaid Compensation of Deceased Civilian Employee	5 CFR, Part 178, Subpart B
SF 2800	Application for Death Benefits (Civil Service Retirement System)	5 USC, Chapter 83
SF 2800A	Documentation and Elections in Support of Application for Death Benefits When Deceased Was an Employee at the Time of Death	5 USC, Chapter 83
SF 2801	Application for Immediate Retirement (Civil Service Retirement System)	5 USC Chapters 83, 87 & 89
SF 2802	Application for Refund of Retirement Deductions (Civil Service Retirement System)	5 USC Chapter 83

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
SF 2803	Application to Make Deposit or Redeposit (Civil Service Retirement System)	5 USC Chapter 83
SF 2804	Application to Make Voluntary Contributions (Civil Service Retirement System)	5 USC Chapter 83
SF 2808	Designation of Beneficiary (Civil Service Retirement System)	5 USC Chapter 83
SF 2809	Employee Health Benefits Registration Form	5 USC Chapter 89
SF 2817	Life Insurance Election (Federal Employees' Group Life Insurance Program)	5 USC Chapter 87
SF 2818	Continuation of Life Insurance Coverage as an Annuitant or Compensationer (Federal Employees' Group Life Insurance Program)	5 USC Chapter 87
SF 2821	Agency Certification of Insurance Status (Federal Employees' Group Life Insurance Program)	5 USC Chapter 87
SF 2822	Request for Insurance (Federal Employees' Group Life Insurance Program)	5 USC Chapter 87
SF 2823	Designation of Beneficiary (Federal Employees' Group Life Insurance Program)	5 USC Chapter 87
SF 3102	Designation of Beneficiary (Federal Employees Retirement System)	5 USC Chapter 84
SF 3104	Application for Death Benefits (Federal Employees Retirement System)	5 USC Chapter 84
SF 3104B	Documentation and Elections in Support of Application for Death Benefits when Deceased was an Employee at the Time of Death (Federal Employees Retirement System)	5 USC Chapter 84
SF 3106	Application For Refund of Retirement Deductions (Federal Employees Retirement System) along with SF 3106A, Current/Former Spouse's Notification for Refund of Retirement Deductions	5 USC Chapter 84
SF 3107	Application for Immediate Retirement (Federal Employees Retirement System)	5 USC Chapter 84
SF 3108	Application to Make Service Credit Payment (Federal Employees Retirement System)	5 USC Chapter 84
SF 3109	Election of Coverage (Federal Employees Retirement System)	5 USC Chapter 84
SF 3110	Former Spouse's Consent to Federal Employees Retirement System Election	5 USC Chapter 84
SF 3111	Request for Waiver, Extension, or Search in Connection with Election of Federal Employees Retirement System Coverage	5 USC Chapter 84
SF 3112	Documentation in Support of Disability Retirement Application (Civil Service Retirement System and Federal Employees Retirement System)	5 USC Chapter 83 & 84
OPM 71	Request for Leave or Approved Absence	5 USC Section 6311

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
OPM 1482	Agency Certification of Status of Reemployed Annuitant (Federal Employees' Group Life Insurance)	5 USC Chapter 87
OPM 1510	Certification of Agency Offer of Position and Requirement Documentation for Discontinued Service Retirement under the Civil Service Retirement System or Federal Employees Retirement System	5 USC Chapter 83 & 84
OPM 1514	Service Credit Payment for Post-1956 Military Service under the Civil Service Retirement System or Federal Employees Retirement System	5 USC Chapter 83 & 84
OPM 1515	Military Service Deposit Election under the Civil Service Retirement System or Federal Employees Retirement System	5 USC Chapter 83 & 84
OPM 1519	Survivor's Military Service Election – Deceased Employee Covered by Civil Service Retirement System or CSRS Offset	5 USC Chapter 83
OPM 1562	Application for Return of Excess Retirement Deductions (Civil Service Retirement System and/or Federal Employees Retirement System)	5 USC Chapter 83 & 84
RI 10-125	Federal Employee Retirement Coverage Corrections Act (FERCCA) Election Form	5 USC Chapter 83 & 84
RI 20-97	Estimated Earnings During Military Service	5 USC Chapter 83 & 84
RI 76-10	Assignment of Federal Employee's Group Life Insurance	5 USC Chapter 87
FE 6	Claim for Death Benefits (Federal Employee's Group Life Insurance)	5 USC Chapter 87
FE 6 (DEP)	Settlement of Claim; Option C-Family Life Insurance (Federal Employee's Group Life Insurance)	5 USC Chapter 87
FE 7	Claim for Dismemberment Benefits (Federal Employee's Group Life Insurance)	5 USC Chapter 87
W-4P	Withholding Certificate for Pension or Annuity Payments	5 USC Chapter 83 & 84
G 1111	Request for Restoration of Annual Leave	5 USC 6311
G 1519	Disabled Veteran Leave (DVL) Eligibility Request Form	Wounded Warriors Federal Leave Act (Public Law 114-75, November 5, 2015)
TSP 1	Thrift Savings Plan Election Form	5 USC Chapter 84
TSP 41	Thrift Savings Plan Notification to TSP of Nonpay Status	5 USC Chapter 84
1187	Request for Payroll Deductions for Labor Organization Dues	Section 5525 of title 5 United States Code (Allotments and Assignments of Pay) permits Federal agencies to collect this information.

FORM NUMBER	FORM NAME	LEGAL AUTHORITY TO COLLECT OR DISSEMINATE SSNS
1040	U.S. Individual Income Tax Return	Internal Revenue Code § 6001, 6011, 6012(a) and 6109.