Privacy Impact Assessment
of the
Federal Reserve Board Adjudication Case Management System (FRACMS)

Program or Application Name:

Federal Reserve Board Adjudication Case Management System (FRACMS)

System Owner:

Board of Governors of the Federal Reserve System's (Board) Division of Management

Contact information:

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Description of the IT system:

Federal Reserve Board Adjudication Case Management System (FRACMS) is a system used by the Board's Management Division to track personnel suitability and security clearance investigations as well as adjudications (collectively referred to herein as "personnel security

investigations") of Federal Reserve System[1] employees, contractors, interns, certain visitors (experts, instructors, and consultants), and temporary employees. These personnel security investigations are conducted to determine individuals' suitability and security clearance for employment and/or access to sensitive Board information. FRACMS maintains the status history of security clearances, which includes clearances granted once the personnel security investigations have been favorably adjudicated by Board staff. FRACMS also maintains an audit trail to ensure that personnel security investigations are completed as required and adjudicated where appropriate.

1. The information concerning individuals that is being collected and/or maintained:

FRACMS may collect the following information on individuals:

a. Name;
b. Social Security Number;
c. Date of Birth;
d. Place of Birth;
e. Clearance Type; and
f. Comments about the subject individual.

2. Source(s) of each category of information listed in item 1:

The subject individuals supply the personally identifiable information on their completed background check and/or clearance forms.[2] Board staff may also provide comments about the subject individual and other summary or notes as needed. Additional information may be solicited from individuals after the investigation on an as-needed basis.

3. Purposes for which the information is being collected:

The personal information collected and maintained in FRACMS is used for on-going internal tracking of all personnel security investigations conducted pursuant to applicable laws and executive orders regarding suitability and access to classified information.

4. Who will have access to the information:

Access to the personal information maintained in FRACMS is limited to authorized Personnel Security employees within the Board who have a need for the information for official business purposes. In addition, information may be disclosed for the purposes set forth in the system of records entitled BGFRS-2, "FRB—Personnel Security Systems."

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[1] The term "Federal Reserve System employees" includes both employees of the Board of Governors of the Federal Reserve System and employees of the regional Federal Reserve Banks.
[2] Standard Forms 85, 85P, or 86, available here: https://www.opm.gov/forms/standard-forms/.

5. Whether the individuals to whom the information pertains have an opportunity to decline to provide the information or to consent to particular uses of the information (other than required or authorized uses):

Individuals may elect not to submit requested information; however, that failure will result in the Board's inability to consider information in connection with a personnel security investigation for suitability or security clearance. Individuals do not have the ability to review or consent to information about themselves provided by others in the course of a security investigation.

6. Procedure(s) for ensuring that the information maintained is accurate, complete and up-to-date:

The individual is responsible for the accuracy, completeness, and timeliness of the information on their Standard Form 86, 85 or 85P. Board staff manually submit the information identified in Section 1 of this document from the background investigation and clearance forms to the system. However, FRACMS does provide data entry validation checks to ensure the information is entered correctly.

7. The length of time the data will be retained and how will it be purged:

Personnel security case files for individuals issued a clearance or considered for access to sensitive but unclassified information or access to the premises are retained five years after the employment or contract relationship ends, but longer retention is authorized if required for business use. Personnel security case files for individuals who are not issued a clearance are retained for three years after consideration of the candidate ends, but longer retention is authorized if required for business uses. All investigative reports are retained in accordance with the instructions of the investigative agency.

8. The administrative and technological procedures used to secure the information against unauthorized access:

FRACMS has the ability to track individual user actions within the system. The audit and accountability controls are based on NIST and Board standards, which in turn, are based on applicable laws and regulations. The controls assist in detecting security violations and performance or other issues in FRACMS.

Access to FRACMS is restricted to authorized users who require access for official business purposes. Users are classified into different roles and common access and usage rights are established for each role. User roles are used to delineate between the different types of access requirements such that users are restricted to data that is required in the performance of their duties. Periodic assessments and reviews are conducted to determine whether users still require access, have the appropriate role, and whether there have been any unauthorized changes.

The physical copies of the background investigation and clearance forms are stored in a locked facility which can only be accessed by Personnel Security employees who have a need for the information for official business purposes.

9. Whether a new system of records under the Privacy Act will be created. (If the data are retrieved by name, unique number or other identifier assigned to an individual, then a Privacy Act system of records may be created):

FRACMS is covered by BGFRS-2, "FRB—Personnel Security and Suitability Systems."

Reviewed:

/signed/ 3/29/23

Andrew Krug
Senior Agency Official for Privacy

Date

/signed/ 3/29/23

Kofi Sapong
Chief Information Officer (Interim)

Date