



**Privacy Impact Assessment Update
for the**

Human Resources Business Engine (HRBE)

DHS/CBP/PIA-032(a)

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Abstract

The Department of Homeland Security (DHS), U.S. Customs and Border Protection (CBP) provides Human Resources (HR) services to CBP and other DHS components through a web-based tool called the Human Resources Business Engine (HRBE). HRBE provides case management and HR business process capabilities to CBP and its DHS component customers. CBP published a Privacy Impact Assessment (PIA) for HRBE on July 25, 2016. CBP is publishing this update to the original PIA to describe several new modules in HRBE supporting HR processes that collect, use, and maintain personally identifiable information (PII) about CBP applicants and employees.

Overview

HRBE, a CBP-owned and developed HR services information technology system, provides case management and business process capabilities for CBP and a limited number of DHS component customers. Although developed originally for CBP, HRBE also provides HR services to other DHS customers, including U.S. Immigration and Customs Enforcement (ICE), United States Citizenship and Immigration Services (USCIS), Federal Emergency Management Agency (FEMA), and DHS Headquarters. The National Protection and Programs Directorate (NPPD), previously a HRBE user, ceased its use of the system in 2016. An updated list of system users is included in the appendix to this PIA. DHS customers may choose from HRBE's offered HR services to meet their individual HR case management and workflow needs. As other DHS customers request HRBE services in the future, the system has the potential to become an enterprise-wide HR case management system for DHS.

Reason for PIA Update

HRBE is composed of twenty distinct HR functions, seventeen of which were outlined in the original PIA as follows:

1. **Performance Management Function** automates the administration, processing, tracking, and reporting of CBP employees' annual performance plans, covering the initial establishment of each employee's plan, the mid-year review, and the end of year review.
2. **Entry and Professional Level Hiring Function** tracks and manages applicants from the submission of application to actual Entrance on Duty (EOD). Interactions include: text messages from HR staff to applicants to keep them apprised of their application



status; access to a tracking application¹ for those applicants who have received a tentative offer for select positions to monitor their hiring status; data exchange of staffing and certificate data between the Office of Personnel Management (OPM) and CBP; data exchange of background investigation information between HR and CBP Office of Professional Responsibility (OPR); and scheduling and results of pre-employment tests such as: drug test results (pass/fail only), medical results if required for position suitability, and background investigation results (including polygraph) to obtain required clearances. The actual required pre-employment tests will vary depending on the position for which the applicant is being considered. The Entry and Professional Level Hiring Function does not store the details of an applicant's suitability or pre-employment tests, but rather which tests are required and if they have been passed. HRBE also maintains a copy of CBP employees' active duty military orders to maintain information regarding the employee's obligations to serve on active duty or deployment for scheduling purposes.

3. **Senior Executive Service (SES) Function**, similar to the preceding function, this function tracks and manages recruitment actions but focuses on senior executive recruitments.
4. **Table of Organization Function** provides the reporting capability to accurately project and compare CBP's federally funded positions to the CBP mission within budgetary constraints.
5. **Safety Inspection Function** tracks and manages the scheduling, workflow, processing, results, corrective actions taken, and reporting of safety inspections conducted in the work place. The goals of these inspections are: 1) to ensure safety concerns of those who work in CBP workplaces are addressed, and 2) to ensure that CBP workplaces remain compliant with Department of Labor (DOL) Occupational Safety and Health Administration (OSHA) safety standards.
6. **Employee Relations Case Tracking Function** tracks and manages records related to DHS employees' disciplinary, performance, medical, and informal counseling cases. This module exchanges case status updates and basic personnel information with the

¹ Select applicants are granted access to the CBP Jobs mobile application (CBP Jobs). This application provides job application process status for CBP conditional employees who have passed the entrance exam and been issued a Tentative Selection Letter for an entry-level position in one of these occupations: Agricultural Specialist, Border Patrol Agent, or Border Patrol Officer. CBP Jobs provides a status on the following requirements: pre-employment forms, medical exam fitness test, drug screening, structured interview, background investigation, qualifications, and scheduled report date. Login into CBP Jobs requires the applicant's name, phone number, email address, and password created by the applicant. CBP Jobs is described in the Appendix to the DHS/ALL/PIA-043 Hiring and On-Boarding Process PIA, available at: <https://www.dhs.gov/sites/default/files/publications/pia-app-update-043-dhs-wide-hiring-and-on-boarding-06252015.pdf>.



- CBP OPR's Joint Intake Case Management System (JICMS)² through a system-to-system data exchange. Labor and Employee Relations staff have limited access to JICMS on a case-by-case basis when they have an official need to know. Investigatory material is not stored in HRBE.
7. **Fitness Function** provides entry of, and access to, fitness exam results administered during the hiring of applicants or (re)certification of employees as determined by the specific position requirements, such as law enforcement positions. This function differs from pre-employment medical tests, which verifies the applicant against medical standards for entry-level law enforcement positions.
 8. **Labor Relations Case Tracking Function** tracks and manages labor relations cases such as Unfair Labor Practice claims, grievances, and arbitrations. This function serves as an information resource for the historical activity/status reports and trends for client managers and executive leadership.
 9. **Drug Free Workplace Function** maintains records mandated by the Federal Government's comprehensive drug-free workplace program for all Federal Executive Branch workers.³ It requires random selection of employees for drug testing and the maintenance of historical drug test results.
 10. **Financial Disclosure OGE-450 Function** tracks and manages the data entry, routing, processing, and tracking of financial disclosure forms completed by covered employees annually.
 11. **Customer Inquiry Tracking Function** tracks and manages inquiries from employees and applicants via phone, email, or direct contact on various topics/subtopics related to the status of their pending applications or personnel actions.
 12. **Retirement Tracking Function** tracks the retirement application from receipt in the HR office to OPM. This function also provides reports to monitor workload and provide metrics.
 13. **Background Investigations (BI) Function** initiates the BI process with applicants by forwarding them a link to complete the OPM eQIP⁴ form. HR specialists with access to the BI function review the submitted eQIP for completeness, and then forward the

² JICMS is the OPR system used to record misconduct, to conduct criminal and administrative investigations, and to track disciplinary actions related to CBP and U.S. Immigration and Customs Enforcement (ICE) employees and contractors. See DHS/CBP/PIA-044 Joint Integrity Case Management System (JICMS) (July 18, 2017), available at: <https://www.dhs.gov/sites/default/files/publications/privacy-pia-cbp044-jicms-july2017.pdf>.

³ Executive Order 12564 - Drug-Free Federal Workplace, 1986, available at: <http://www.archives.gov/federal-register/codification/executive-order/12564.html>.

⁴ eQIP is a secure website managed by OPM that is designed to automate the common security questionnaires used to process federal background investigations. For additional information, please see <http://www.opm.gov/privacy/PIAs/eQIP.pdf>.



eQIP package to the OPR Cornerstone System⁵ to initiate the BI process for applicants and employees. It also receives information from OPR when the BI is completed. In addition, this function exchanges information with the DHS Integrated Security Management System (ISMS)⁶ nightly to update case information in both systems. The BI Function maintains status and basic biographic information only. HR specialists view the eQIP to verify completeness but do not make any adjudicative decisions. It is a pass-through for the eQIP but does not ingest or retain any information from the eQIP. The BI Function does not maintain investigatory material. The purpose of this module is to manage the caseload on HR for eQIP initiations and wait for results from OPR. For a full description of the BI process at CBP, please see the Cornerstone System PIA.

14. **Medical and Contracting Officer's Representative (COR) Function** tracks and manages the medical activities associated with an applicant (i.e., scheduling the medical appointment and getting the test results of the medical examination) during the hiring process for the hiring centers. This function also tracks and processes the invoices received for the medical services provided to the applicant during the pre-employment process.
15. **Position Person Lookup Function**, formerly known as the Employee Position Profile Function, supports the look up of positions and employees assigned to the positions in CBP. It also allows the Office of Human Resources Management (HRM) and the Program offices to support the tracking of Person or Position data elements that are not supported by the United States Department of Agriculture (USDA) National Finance Center (NFC) (i.e., special initiatives like Trade Revenue and Cybersecurity-designated positions, emergency essential personnel).
16. **Ticketing Function** allows all HRBE users to submit a request to correct a technical error. This module differs from the Customer Inquiry Tracking module, which tracks the incoming requests from employees and applicants regarding the status of the hiring or personnel actions. The Ticketing function is the bug/defect tracking system for HRBE administrators to report issues or request enhancements to the HRBE system.

The following function was described in the 2016 PIA, but this update covers recent changes for the filing of the OPM Request for Personnel Action (Standard Form 52):

17. **Personnel Action Request Function** allows requesting and approving officials to submit a Request for Personnel Action to HR for processing; HR specialists to route

⁵The Cornerstone System facilitates the BI process and improves its efficiency. Cornerstone retrieves information from other systems, compiles the information, and sends the document to the appropriate system for processing. For additional information, please see DHS/CBP/PIA-038 Cornerstone (February 27, 2017), available at <https://www.dhs.gov/sites/default/files/publications/privacy-pia038-cbp-cornerstone-february2017.pdf>.

⁶ DHS/ALL/PIA-038 Integrated Security Management System (ISMS) (March 22, 2011), available at: https://www.dhs.gov/sites/default/files/publications/privacy_pia_dhswide_isms-2011.pdf.



and code the personnel action; and transmission of data to the NFC. CBP has implemented an employee retention incentive for all existing U.S. Border Patrol GS-12 and GS-13 agents who participate in a 12-month service agreement. The employee retention agreements are managed through the OPM Standard Form-52, Request for Personnel Action. This workflow allows CBP to monitor the employee period of performance, incentive payout, and incentive eligibility requirements.

Since the previous PIA was published, HRBE has added the following three modules:

18. **Scheduling Function** tracks and manages the structured and pre-security interview calendars and allows the CBP hiring center to schedule structured interviews⁷ and pre-security interview⁸ appointments with applicants, employees, and contractors who have received a tentative offer for certain CBP law enforcement frontline positions. The scheduling function tracks the dates and times of each interview, the CBP Program office location, and CBP site point of contact information.
19. **Structured Interview Function** allows HRM to track the applicant's progress through the pre-employment process of structured interviews for CBP law enforcement frontline positions. CBP Program Office personnel conduct the structured interviews to determine suitability for CBP positions and manually update the results in HRBE to indicate if the applicant provided fingerprints, and passed, failed, or did not appear for the interview. If an applicant fails the structured interview, the applicant is disqualified and removed from the hiring process. Upon process completion, HRBE automatically sends an email notification to the applicant to confirm the pass or fail status. The structured interview function stores the details of an applicant's suitability and pre-employment tests, pass or fail status, and email communication.
20. **Pre-Security Interview Function** allows HRM to track the applicant's progress through the pre-employment process of pre-security interviews for CBP law enforcement frontline positions. If an applicant does not appear for the pre-security interview, the individual is removed from the hiring process. CBP Program office personnel conduct the interviews to assist with the background investigation process and manually update the system to indicate whether an applicant completed the pre-security interview and if they responded affirmatively to any questions. HRBE automatically sends an email notification of the status to the applicant after the pre-security interview process is completed. The module stores the details of an applicant's

⁷ A structured interview is an assessment method designed to measure job-related competencies of candidates by systematically inquiring about their behavior in past experiences and/or their proposed behavior in hypothetical situations. Generally speaking, structured interviews ensure candidates have equal opportunities to provide information and are assessed accurately and consistently.

⁸ The pre-security interview is an assessment method designed to measure the likelihood of an applicant passing a polygraph administered OPR. Pre-security interviews review topics covered during a polygraph exam.



interview and a completed copy of Pre-Security Interview Questionnaire (CBP Form 0075), and the full information collection is sent to OPR via email. The Cornerstone System initiates the BI process by scanning the OPR email to retrieve the form and pre-security interview information collection.

Privacy Impact Analysis

Authorities and Other Requirements

The legal authorities and other requirements associated with CBP's collection, use, maintenance, and dissemination of information within HRBE have not changed since the original PIA was published in 2016. Pursuant to 5 Code of Regulations (CFR) Part 731, CBP is authorized to collect and maintain information to examine suitability for competitive federal employment.

CBP granted the most recent HRBE Authority to Operate (ATO) on September 7, 2016. The HRBE ATO is scheduled for renewal pending publication of this PIA.

Characterization of the Information

HRBE collects, uses, disseminates, and maintains information about applicants for employment, current employees, and contractors who require access to HRBE as part of their HR support job duties. A complete list of these data elements is available in the 2016 HRBE PIA.

In addition to the interfaces and data collection outlined in the previous HRBE PIA, HRBE processes the following new data elements for CBP applicants and employees who apply for CBP positions:

Applicants:

- Active duty military orders;
- System generated unique identifier (hiring ID);
- Scheduling details (dates, times, and locations for in-person meetings) for structured and pre-security interviews;
- Current status in the employment process, including the results of any pre-security, and structured interviews; and
- Completed Pre-Screening Interview Questionnaire (CBP Form 0075) that includes the name and signature of the CBP interviewer (CBP employee), the name of any existing Federal Credentials Agency, the signature of the applicant, and answers to questions related to: 1) use of marijuana, steroids, or misuse of prescription medication, 2) illegal drug use, 3) sale, transportation or trafficking illegal drugs, 4) termination of employment, 5) child pornography, 6) domestic violence or domestic abuse, 7) sexual



assault, 8) sexual acts with minors, 9) theft, and 10) violated or assisted others in violating immigration laws.

Employees:

In addition to the information collected previously reported and noted under applicants, HRBE collects employee retention incentive agreement information for existing U.S. Border Patrol GS-12 and GS-13 positions, which includes the following new data elements:

- Incentive Reason;
- Organization Number;
- Master Record Number (MRN): Unique identifier assigned to the employee's job category;
- Individual Position Number (IPN): Unique identifier assigned to the employee's position category;
- Agreement Start and End Date;
- Number of Years and Months of Service;
- Payment Amount;
- Additional Conditions: Ongoing eligibility requirements;
- CBP Employee Signature and Date; and
- Approving CBP Official's Signature and Date.

The original sources of the information and how the information is collected for the project have not changed since the 2016 HRBE PIA.

During the structured and pre-security interview process, information is obtained directly from the CBP applicant and employee. Information collected during the structured interview is manually entered in HRBE by the CBP Program office interviewer. Through the pre-security interview process, the CBP applicant or employee fills out the CBP Form 0075 and signs the form. The CBP Program office interviewer uploads the CBP Form 0075 in the Pre-Security Interview module and manually enters the results of the pre-security interview.

Privacy Risk: There is a risk that with the addition of the information from the CBP Form 0075, HRBE may maintain more sensitive information than is necessary for HR activities.

Mitigation: This risk is partially mitigated. Although the standard background investigation and suitability review typically begins later in the process, CBP will now use this questionnaire to share information between HRM and OPR. CBP collects the pre-security interview information in order to track the individuals' progress through the security process,



which, though managed by OPR, is a key stage in the hiring and onboarding process. HRM captures the pre-security information on behalf of OPR, which does not currently have the capability to do so.

Uses of the Information

The uses of the information within HRBE outlined in the original PIA have not changed.

HRBE uses the information maintained in the Scheduling, Structured Interview, and Pre-Security Interview Functions to record, process, track, and report on the status of the interview process for availability, position, location, and status; and in the Personnel Action Request Function to monitor employee retention agreements in relation to period of performance, incentive payout, and eligibility requirements.

Scheduling

CBP uses HRBE to register and track the dates and times of each interview, the CBP office location for each meeting, and related CBP site point of contact information. The scheduling function allows CBP to manually schedule structured and pre-security interview appointments within one system. HRBE allows the CBP hiring center to search for the applicant's name within the system, schedule the appointment, and automatically send confirmation emails to the applicants for each interview. In addition, HRBE also generates a historical structured interview report to display the number of interviews that were conducted during a period of time. It also provides planning reporting capabilities to cover future hiring activity.

Structured Interviews

The structured interview function allows CBP to collect applicant interview results, structured interview scheduling information, communications with applicants, and provide information to Hiring Center staff about historical CBP interview experiences. The structured interview is a required step in the pre-employment process. CBP uses the information captured in the module to determine if an applicant has successfully completed the structured interview steps. Although HRBE serves as a method to track the status of the structured interview and collection of applicant fingerprints, details of the oral examination and fingerprints are not stored in or transmitted through HRBE.

Pre-Security Interviews

The purpose of the pre-security interview function is to collect CBP applicant information and oral or written responses to questions prior to the applicant being scheduled for a CBP polygraph, which is required for certain CBP positions. The pre-security interview is a required step in the pre-employment process. CBP uses the information submitted by applicants during the interviews to identify any conduct or actions that could affect suitability for a CBP position. While CBP does not regularly share this information outside of DHS, CBP may make this information available as a routine use to other government agencies if the information is relevant and necessary



to a requesting agency's decision concerning the hiring or retention of an individual, or issuance of a national security clearance.

Personnel Action Requests

CBP announced a new retention incentive program on April 24, 2019, in an effort to mitigate the staffing challenges faced on the border. The retention incentive is the product of months of collaboration between CBP and the National Border Patrol Council. This retention incentive is part of a comprehensive recruitment and retention strategy for the U.S. Border Patrol. HRBE will use the employee retention incentive information collection to select eligible employees to receive retention incentives, monitor employees' continuing eligibility over the life of the agreement, stage future payment transactions through personnel action processing, and generate, track, and terminate agreements. The CBP hiring center reviews all incentive agreements across all incentive packages that are managed through the Standard Form-52. CBP mission support teams countersign retention incentive agreements after the U.S. Border Patrol employees apply their electronic signatures.

Information from Other Systems

HRBE interacts with many different systems in a variety of ways to send and receive information; the list of system interfaces reported in the 2016 HRBE PIA remain the same.

Privacy Risk: There is a risk for misuse or mishandling of information for systems users.

Mitigation: This risk is mitigated. HRBE users are assigned system access according to their position functionality. Role-based access controls are employed to limit access to information and all system users undergo a review and approval process to ensure that access is granted based on an authorized need to know. HRBE uses an audit log report that is generated to track system activities conducted by all users on a monthly basis.

Notice

There are no changes to the notice required or provided to individuals.

Data Retention

There are no changes to the retention period of the data.

Information Sharing and Disclosure

There are no changes to the sharing and disclosure of the data within the Department.

External Sharing and Disclosure

The external sharing described in the 2016 PIA remains in effect.



Individual Access, Redress, and Correction

There are no changes to individual access, redress, and correction procedures.

Auditing and Accountability

There are no changes to the auditing and accountability procedures described in the previously issued HRBE PIA.

Responsible Officials

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APPENDIX A
HRBE Functions Used by Other DHS Components

Component	Function Access
DHS Headquarters	Customer Inquiry Tracking Ticketing
ICE	Entry and Professional Level Hiring Employee Relations Labor Relations Ticketing
USCIS	Employee Relations Labor Relations Ticketing
FEMA⁹	Financial Disclosure OGE-450 Function

⁹ In April 2018, FEMA was added to the list of DHS Components in Appendix A of this PIA, to document the agency's use of HRBE for the Financial Disclosure/OGE-450 reporting function. FEMA's permissions in HRBE are identical to those of the other components (ICE & USCIS) who use HRBE.



**APPENDIX B
Level of Access by HRBE Function**

	Function	Roles	Role Description
1	Performance Management (PM)	PM_Admin	Administers the performance management workflow. They are able to assign additional roles to users and take action on behalf of employees on their performance plans
		PM_Agency_Goal	Allows the users to edit Agency level performance goals
		PM_DHS_Goal	Allows users to edit DHS level performance goals
		PM_Employee	This role grants users access to the performance management workflow as a federal employee able to receive performance plans.
		PM_POC	The organization point of contact (POC). This user is able to act as an employee and perform administrative tasks on his/her performance plans but only within his/her own organization level and below
		PM_Prog_Office_Goal	Allows this user to edit the program office level performance goals
		PM_Rating_Official	This role grants the user access as a federal supervisor able to issue performance plans to his/her direct reports and rate their performance
		PM_Super_POC	This role is the same as the POC role but is granted at the program office level. This user is able to perform



	Function	Roles	Role Description
			POC-like tasks for the whole program office
		PM_User_Reports	Allows this user to run reports
		PM_View_Only	Allows user to view/search performance plans but not take any action
2	Entry and Professional Level Hiring	Hiring Entry Level	Access to the Entry Level tracking system
		User Administrator	Allows user to administer roles in Entry and Professional Hiring
		Fitness Results	Allows access to enter detailed fitness results into the system
		Email PFT2	Allow the sending of emails to applicants regarding the second physical fitness test.
		Email Refer to Scheduling and EOD	Allow the sending of emails to applicants regarding academy scheduling and entry on duty (EOD) information.
3	Senior Executive Service (SES)	SATS_User	Allows user full user / admin access to Senior Executive Service hiring workflow
4	Table of Organization	TO_User	Allows user access to set organizational targets at specific levels or his/her own organization
		TO_Super_User	Allows user access to set organizational targets for all organizations and all levels
		TO_Org_Target_User	Sets the high level program office targets
		TO_Admin	Allows user to add / remove users
5	Safety Inspection	STAR_View_only	View-only access to search and open inspection reports



Function	Roles	Role Description
	STAR_Supervisor	Allows user to perform a review of the safety inspections before it is sent to the building management
	STAR_Safety_Specialist	Users performing the safety inspections
	STAR_MSS	Mission Support Specialist runs reports and manages the overall process and acts as a liaison between safety specialists and the building management.
	STAR_MOIC_Reporting	Management Official In Charge (MOIC) is the building management in charge of remediating all the safety findings
	STAR_Health_Physicist	Users performing inspections on the radiation equipment at CBP facilities
	STAR_Email_Admin	Users allowed to modify email templates that are used to send emails in the workflow
	STAR_Delegate	Users delegated responsibility to remediate safety finding by the MOIC
	Star_Admin	Allows user to administer roles, facilities, standard findings
6	Employee Relations (ER)	
	Assigned_DRB_Supervisor (Discipline Review Board)	Allows DRB supervisor assigned to case to perform supervisory actions
	Assigned_DRB_Specialist	Allows DRB specialist assigned to case to perform workflow actions
	Assigned_Supervisor	Allows DRB supervisor to view case
	Assigned Labor and Employee Relations (LER)_Specialist	Allows LER specialist assigned to case to perform workflow actions
	Assigned_Intake_Specialist	Allows intake specialist assigned to case to perform



Function	Roles	Role Description
		intake review workflow actions
	Assigned_Intake_Assistant	Allows intake assistant assigned to case to perform intake workflow actions
	Agency_Intake_Assistant	Allows DRB intake assistant to view case within his/her agency at select stages
	Agency_Intake_Specialist	Allows DRB intake specialist to view case within his/her agency at select stages
	Agency_LER_Admin (Labor and Employee Relations)	Allows LER administrator to take select migration actions for cases within his/her agency
	Agency_DRB_Admin	Allows DRB administrator to take select migration actions for cases within his/her agency
	Agency_Specialists	Allows DRB specialist/DRB supervisor or LER specialist/LER supervisor to take select migration actions for cases within his/her agency
	LER_Specialist	Allows LER specialist to perform workflow actions
	LER_Supervisor	Allows LER supervisor to perform supervisory actions
	LER_Administrator	Allows LER administrator to perform actions taken by LER specialist/LER supervisor and administrative actions
	DRB_Specialist	Allows DRB specialist to perform workflow actions
	DRB_Supervisor	Allows DRB supervisor to perform supervisory actions
	DRB_Administrator	Allows DRB administrator to perform actions taken by DRB specialist/DRB



	Function	Roles	Role Description
			supervisor and administrative actions
		DRB_Intake_Specialist	Allows DRB intake specialist to perform select actions
		DRB_Intake_Assistant	Allows DRB intake assistant to perform select actions
		HRBE_Admin	Allows access to admin form to load cases
		ER_Dashboard	Allows access to ER dashboard (external interface)
		ER_QueryStudio	Allows access to ER Query Studio (external interface)
		ER_Analysis	Allows access to ER Analysis Studio (external interface)
		ER_Super_Maintenance	Allows access to admin forms to update critical fields or delete cases
		ER_DD_Administrator (Discipline Dashboard)	Allows access to admin form to manage discipline dashboard users
		ER_DD_Org_Level_2_User	Allows access to specified CBP level 2 org data in discipline dashboard
		ER_DD_Org_Level_3_User	Allows access to specified CBP level 3 org data in discipline dashboard
		ER_DD_CBP	Allows access to CBP data in discipline dashboard
7	Fitness	PFT2_User	Allows user to enter fitness results
		PFT2_admin	Administers the user roles for fitness workflow
8	Labor Relations (LR)	Assigned_LR_Specialist	Allows specialist assigned to the case to perform workflow actions
		LR_Super_Maintenance	Allows access to admin forms to update critical fields or delete cases



Function		Roles	Role Description
		Assigned_LER_Supervisor	Allows assigned specialist's team supervisor to perform supervisory actions
		Agency_LR_Supervisor	Allows supervisor to perform supervisory actions for cases within his/her agency
		HRBE_LR_Supervisor	Allows supervisor to perform supervisory actions
		HRBE_LR_Specialist	Allows specialist to perform workflow actions
		HRBE_LR_Admin	Allows access to administrative forms and actions
		HRBE_LR_QueryStudio	Allows access to Query Studio (external interface)
		HRBE_LR_Dashboard	Allows access to LR dashboard (external interface)
		HRBE_LR_AnalysisStudio	Allows access to Analysis Studio (external interface)
9	Drug Free Workplace (DFWP)	Administrator	Can do all things the specialist can do but also has the ability to maintain users, tables, regions, and explicit lists
		Specialist	General user of the DFWP tool. Can perform all non-administrative functions
10	Financial Disclosure OGE-450	Filer	Allows user to be a OGE450 filer
		Final Approver	User performs the final approval for OGE450 filings
		Designee	User designated by final approver to perform the final approval
		POC	Point of contact can monitor and take administrative action on OGE450 filing within



Function	Roles	Role Description
		his/her organization
	Program Office Admin	User, also known as the Organizational Admin, can administer filings at the program office level
	Supervisor	User performs the supervisor approvals for filings
	Viewer	Allows user to search and view filings
	Report Analysis	Allows user to access Cognos analysis studio
	Report Query	Allows users to access Cognos Query Studio
	Report Dashboard	Allows user to access the financial disclosure dashboard in Cognos
11	Customer Inquiry Tracking (CIT)	AssignedUser
		CIT_Admin
		CIT_FAQ_Supervisor
		CIT_Initiators
		CIT_Super_Maintenance
		CIT_Supervisor
		CIT_Supervisor_Administration
		CIT_Tier1
		CIT_Tier2
		CIT_Tier3
12	Retirement Tracking (RT)	RT_Management
		Users who initiate RT, update case, reassign case, view RT archived package search form, view RT Reports



Function	Roles	Role Description
	RT_Worker	Users who initiate RT, audit processed case, update case, reassign case, view RT archived package search form
	RT_Assistant	Users who initiate RT, update case, reassign case, view RT reports
	RT_Specialist	Users who initiate RT, pool of specialist for assignment, reassign case, view RT
	RT_Assigned_Specialist	Users who assigned specialist for a case, view RT Reports
	RT_UserMaintenance	Users who access retirement tracking administration form, view RT archived package search form, view RT reports
13	Background Investigations (BI)	
	BI Supervisor	Users with full access to the module
	BI Specialist	Users with full access to the module
	BI Assistant	User who performs most actions, except ones that need higher levels of authority, such as returns from IA (Internal Affairs)
	BI Observer	User with view-only in Module, but performs no actions
	BI Administrator	User who has full access to the Module, including the admin forms for data set up
	BI Social Security number (SSN) Viewer	Users who can see the full SSN, and not just the four digits
	BI Academy Report	Users with access to the IA Academy Report
	BI Metrics Report	Users with access to the BI metrics report



	Function	Roles	Role Description
14	Personnel Action Request	SF52_Create	All users who can create SF-52 request
		SF52 Org Submitter (Lvl 1 Approver)	Users who can submit SF-52. Cannot be person named as employee on SF-52
		SF52_CurrentApprovalTier	Users who have sign ability for current approval level
		SF52_HigherApprovalTier	Users who have sign ability higher than current level
		SF52_OrgAdm	Administrators within specific organization. Can send notifications, reassign requests, and revoke roles
		SF52_SysAdm	Administrators with general access to all functions within the process.
		SF52_User	All users with any role regardless of organization
		SF52_Copy	Create/Sign users with access to Organization
		SF52_Level2OrgAdm	Level 2 Organization Administrators who can set who has sign ability used in the approval tiers for submission of requests
		SF52_HRTeamMember	Specific HR Team member assigned to request
		SF52_HRTeam	All members of team assigned to request
		SF52_HRPayApprovers	Any HR user with Pay Approve authority (within Agency)
		SF52_HRFinalApprovers	Any HR user with Final Approve authority (within Agency)
		SF52_HRUser	Member of any HR team within agency
	SF52_HRAdmin_Agency	Agency-Specific HR Administrators	
	SF52_HRViewer	Member with Any HR role within agency	
	SF52_HRAdmin_FormList	HR Admins in any agency	



Function	Roles	Role Description
		(For Form List)
	SF52_HRTransmitter	Any HR user with transmit authority (within Agency)
	SF52_HRClassApprover	Any HR user with Class Approve authority (within Agency)
	SF52_HRTeamForAdminForms	Not agency aware - cannot be since no agency declared yet
	SF52_HRViewer_NoAgency	Not agency aware - member with any HR role
	SF52_Mass_BusinessOwner	Action-Specific Owners/Administrators for a given type of Mass Process – i.e., Organization Design Division (ODD) does Realignments
	SF52_Mass_ProgramOfficeToDo	Defined by Business Owners in the Task form who have active items to do
	SF52_Mass_ProgramOffice	Defined by Business Owners in Task Form - no Active Task assigned
	SF52_MassSearch_Access	Business Owners and Program Office
	SF52_Mass_Owners	Business Owners who can start Mass Process
	SF52_Mass_OrgAdmins	Org Admins for orgs included in the particular requests realign list
15	Medical and Contracting Officer's Representative	
	Med Supervisor	User with full access to the Med Module
	Med Specialist	User with full access to the Med Module
	Med Assistant	User who can perform most actions, except ones that need higher levels of authority, and cannot make any decisions on the cases: Cleared, Failed to Respond, Disqualified, and



	Function	Roles	Role Description
			Insufficient
		Med Observer	User with view-only in the Module, but performs no actions
		Med Administrator	Administrator with full access to the Med Module, including the admin forms for data set up
		Med Nurse	Nurse who can only evaluate the medical part of the module: Exams, Consults, Follow Ups
		Med Manual	User who can manually start a case, or enter web service data with this role
		Med SSN Viewer	User who can to see the full SSN, and not just the four digits
		COR Administrator	Administrator who has full access to the Module, including the admin forms for data set up
16	Position Person Lookup	Employee_Profile_Admin	Administrator who has read-write access to all forms
		Employee_Profile_Data_Elements	User who has read-write access to the position/person data elements admin forms
		Employee_Profile_HR_Viewer	User who has view only forms access for employee/position data
		Employee_Profile_MRN_Lookup	User who has read-access to Master Record Number (MRN) data
		Employee_Profile_Person_Lookup	User who has read-access to person lookup form
		Employee_Profile_Reports_Viewer	User with access to reports
		Employee_Profile_Role_Admin	Designated Role Administrator who can grant workflow access permissions to users
17	Ticketing	HRBE_Issue_Tracking_UI_Team	Business Process Solutions



Function	Roles	Role Description
		(BPS) User Interface (UI) Team for workflow task assignment
	HRBE_Issue_Tracking_Tier_1	Client Tier 1 support users responsible for reviewing tickets submitted and testing in SAT environment
	HRBE_Issue_Tracking_Submitter	Users authorized to submit a ticket
	HRBE_Issue_Tracking_SAFR_Team	BPS Simulation Accountability Feedback and Reporting (SAFR) Team for workflow task assignment
	HRBE_Issue_Tracking_Reassign	Users authorized to reassign a ticket
	HRBE_Issue_Tracking_Product_Mgr	Designated Product Managers
	HRBE_Issue_Tracking_PM	BPS PM Team for workflow task assignment
	HRBE_Issue_Tracking_LOE	Users responsible for doing Level of Effort (LOE) estimates
	HRBE_Issue_Tracking_LAN_Support	BPS LAN Support Team for workflow task assignment
	HRBE_Issue_Tracking_ISSO_Team	BPS Information System Security Officer (ISSO) Team for workflow task assignment
	HRBE_Issue_Tracking_DB_Team	BPS DB Team for workflow task assignment
	HRBE_Issue_Tracking_CPRO_Team	BPS Consolidated Personnel Reporting Online (CPRO) Team for workflow task assignment
	HRBE_Issue_Tracking_Comms_Team	BPS Communications Team for workflow task assignment
	HRBE_Issue_Tracking_Admin	Users designated as the overall ticketing administrators
	Business_Justification	Users responsible for doing



	Function	Roles	Role Description
			business justifications for enhancements
		Agency_Category_Changer	Allowed to change agency category for a ticket
18	Scheduling	Scheduling Admin	User has full access to the module.
		Org Admin	User monitors and confirms that all scheduling data changes are made in accordance with the organization's guidelines. User should only see Sites specific to his/her positions that are tied to his/her org. User has the ability to manage Site POC and view all Site Information specific to his/her positions that are tied to his/her org
		Scheduling Viewer	User can see the scheduling module (Calendar and Details View) with Read Only access.
		Site POC	Users have the ability to create, update and delete slots, and can only update information tied to the Sites they are assigned to.
19	Structured Interview (SI)	SI User	Not used.
		SI Admin	User has full access to the module; all SI specialist capabilities; ability to manage SI Role assignments; update SI configurations.
		SI Specialist	User can change Site, select an interview date, and specify a slot from available slots.
		SI SSN Viewer	User can view SSN on demand temporarily (SSN



	Function	Roles	Role Description
			is not saved anywhere within the SI module).
		SI Assistant	User can look up and open SI cases for reschedules, notes, and emails.
		SI Call Center	User can access the SI Search form and view Tab forms; however, the user does not have access to any SI process actions.
		SI Access Batch Notes	User has the ability to add notes to selected cases via the admin form.
20	Pre-Security Interview (PSI)	PSI User	Not used.
		PSI Admin	User has full access to the module; all PSI specialist capabilities; ability to manage PSI Role assignments; update PSI configurations.
		PSI Specialist	User can schedule/reschedule interview, change Site, hold/terminate interview process, and send emails.
		PSI SSN Viewer	User can view SSN on demand temporarily (SSN is not saved anywhere within the PSI module).
		PSI Assistant	User can access the PSI Search form and view Tab forms; access to PSI actions limited by PSI Admin.
		PSI Call Center	User can access the PSI Search form and view Tab forms however, user does not have access to any PSI process actions.
		PSI Access Batch Notes	User has the ability to add notes to selected cases via the admin form.



**Homeland
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APPENDIX C Record Retention Schedule by Category and SORN Coverage

	Basic Record Category	SORN	Record Retention Schedule
1	Personal Actions and Records	OPM/GOVT-1 General Personnel Records ¹⁰ SORN	The Official Personnel File (OPF) is maintained for the period of the employee’s service in the agency and is then, if in a paper format, transferred to the National Personnel Records Center for storage or, as appropriate, to the next employing federal agency. If the OPF is maintained in an electronic format, the transfer and storage is in accordance with the OPM approved electronic system. Other records are either retained at the agency for various lengths of time in accordance with the National Archives and Records Administration records schedules or destroyed when they have served their purpose or when the employee leaves the agency. The transfer occurs within 90 days of the individuals’ separation. In the case of administrative need, a retired employee, or an employee who dies in service, the OPF is sent within 120 days. Destruction of the OPF is in accordance with General Records Schedule-1 (GRS-1) or GRS 20. Records contained within the Central Personnel Data File (CPDF) and Enterprise Human Resource Integration (EHRI) (and in agency’s automated personnel records) may be retained indefinitely as a basis for longitudinal work history statistical studies. After the disposition date in GRS-1 or GRS 20, such records should not be used in making decisions concerning employees.
		OPM/GOVT-2 Employee Performance File System Records ¹¹ SORN	Records on former non-SES employees will generally be retained no longer than 1 year after the employee leaves his or her employing agency. Records on former SES employees may be retained up to 5 years under 5 U.S.C. 4314. a. Summary performance appraisals (and related records as the agency prescribes) on SES appointees are retained for 5 years and ratings of record on other employees for 4 years, except as shown in paragraph b. below, and are disposed of by shredding, burning, erasing of disks, or in accordance with agency procedures regarding destruction of personnel records, including

¹⁰ OPM/GOVT-1 General Personnel Records (December 11, 2012), 77 FR 73694, available at: <https://www.gpo.gov/fdsys/pkg/FR-2012-12-11/html/2012-29777.htm>.

¹¹ OPM/GOVT-2 Employee Performance File System Records (June 19, 2006), 71 FR 35342, available at: <https://www.gpo.gov/fdsys/pkg/FR-2006-06-19/html/06-5459.htm>.



Basic Record Category	SORN	Record Retention Schedule
		<p>giving them to the individual. When a non-SES employee transfers to another agency or leaves federal employment, ratings of record and subsequent ratings (4 years old or less) are to be filed on the temporary side of the OPF and forwarded with the OPF.</p> <p>b. Ratings of unacceptable performance and related documents, pursuant to 5 U.S.C. 4303(d), are destroyed after the employee completes 1 year of acceptable performance from the date of the proposed removal or reduction-in-grade notice. (Destruction to be no later than 30 days after the year is up.)</p> <p>c. When a career appointee in the SES accepts a Presidential appointment pursuant to 5 U.S.C. 3392(c), the employee’s performance folder remains active so long as the employee remains employed under the Presidential appointment and elects to have certain provisions of 5 U.S.C. relating to the Service apply.</p> <p>d. When an incumbent of the SES transfers to another position in the Service, ratings and plans 5 years old or less shall be forwarded to the gaining agency with the individual’s OPF.</p> <p>e. Some performance-related records (e.g., documents maintained to assist rating officials in appraising performance or recommending remedial actions or to show that the employee is currently licensed or certified) may be destroyed after 1 year.</p> <p>f. Where any of these documents are needed in connection with administrative or negotiated grievance procedures, or quasi-judicial or judicial proceedings, they may be retained as needed beyond the retention schedules identified above.</p> <p>g. Generally, agencies retain records on former employees for no longer than 1 year after the employee leaves.</p>
	<p>OPM/GOVT-3 Records of Adverse Actions, Performance Based Reduction in Grade and Removal Actions, and Termination of Probationers¹²</p>	<p>Records documenting an adverse action, performance-based removal or demotion action, or covered actions against probationers are disposed of not sooner than four years nor later than seven years after the closing of the case in accordance with each agency’s records disposition manual. Disposal is by shredding, or erasure of tapes (disks).</p>

¹² OPM/GOVT-3 Records of Adverse Actions, Performance Based Reduction in Grade and Removal Actions, and



Basic Record Category	SORN	Record Retention Schedule
	<p>SORN</p> <p>OPM/GOVT-5 Recruiting, Examining, and Placement Records¹³ SORN</p>	<p>Records in this system are retained for varying lengths of time, ranging from a few months to 5 years, e.g., applicant records that are part of medical determination case files or medical suitability appeal files are retained for 3 years from completion of action on the case.</p> <p>Most records are retained for a period of 1 to 2 years. Some records, such as: individual applications, become part of the person’s permanent official records when hired, while some records (e.g., non-competitive action case files), are retained for 5 years. Some records are destroyed by shredding or burning while magnetic tapes or disks are erased.</p>
	<p>OPM/GOVT-6 Personnel Research and Test Validation Records¹⁴ SORN</p>	<p>Records are retained for 2 years after completion of the project unless needed in the course of litigation or other administrative actions involving a research or test validation survey. Records collected for longitudinal studies will be maintained indefinitely. Manual records are destroyed by shredding or burning and magnetic tapes and disks are erased.</p>
	<p>OPM/GOVT-7 Applicant Race, Sex, National Origin and Disability Status Records¹⁵ SORN</p>	<p>Records are generally retained for 2 years, except when needed to process applications or to prepare adverse impact and related reports, or for as long as an application is still under consideration for selection purposes. When records are needed in the course of an administrative procedure or litigation, they may be maintained until the administrative procedure or litigation is completed. Manual records are shredded or burned and magnetic tapes and disks are erased.</p>
<p>2 Contractors and Consultants</p>	<p>DHS/ALL-021 Department of Homeland Security Contractors and Consultants</p>	<p>Records are retained for six years and three months after the final payment to a contractor/consultant in accordance with National Archives and Records Administration-approved General Records Schedule 3, Item 3--General Procurement Files.</p>

Termination of Probationers (April 27, 2000), 65 FR 24732, available at: <https://www.gpo.gov/fdsys/pkg/FR-2000-04-27/html/00-10088.htm>.

¹³ OPM/GOVT-5 Recruiting, Examining, and Placement Records (June 19, 2006), 71 FR 35351, available at: <https://www.gpo.gov/fdsys/pkg/FR-2014-03-26/html/2014-06593.htm>.

¹⁴ OPM/GOVT-6 Personnel Research and Test Validation Records (June 19, 2006), 71 FR 35354, available at: <https://www.gpo.gov/fdsys/pkg/FR-2006-06-19/html/06-5459.htm>.

¹⁵ OPM/GOVT-7 Applicant Race, Sex, National Origin and Disability Status Records (June 19, 2006), 71 FR 35356, available at: <https://www.gpo.gov/fdsys/pkg/FR-2006-06-19/html/06-5459.htm>.



	Basic Record Category	SORN	Record Retention Schedule
3	Employee Relations, Internal Affairs, and Professional Responsibility	SORN ¹⁶ DHS/ALL-018 Department of Homeland Security Grievances, Appeals, and Disciplinary Action Records System of Records ¹⁷ SORN	Records are destroyed no sooner than 2 years but no later than 7 years after a case is closed, in accordance with National Archives and Records Administration General Records Schedule 1, Civilian Personnel Records, Item 30.
4	Labor Relations Cases	OPM/GOVT-9 File on Position Classification Appeals, Job Grading Appeals, Retained Grade or Pay Appeals, Fair Labor Standard Act (FLSA) Claims and Complaints, Federal Civilian Employee Compensation and Leave Claims, and Settlement of Accounts for Deceased Civilian Officers and Employees File on Position Classification Appeals, Job Grading	Records related to position classification appeal, job grading appeal, retained grade or pay appeal files, FLSA claims or complaints, compensation and leave claims, or disputes concerning the settlement of the account for a deceased federal civilian officer or employees are maintained for 7 years after closing action on the case. Records are destroyed by shredding, burning, or erasing as appropriate.

¹⁶ DHS/ALL-021 Department of Homeland Security Contractors and Consultants System of Records (October 23, 2008), 73 FR 63179, available at: <https://www.gpo.gov/fdsys/pkg/FR-2008-10-23/html/E8-25205.htm>.

¹⁷ DHS/ALL-018 Department of Homeland Security Grievances, Appeals, and Disciplinary Action Records System of Records (October 17, 2008), 73 FR 61882, available at: <https://www.gpo.gov/fdsys/pkg/FR-2008-10-17/html/E8-24741.htm>.



Basic Record Category	SORN	Record Retention Schedule
	Appeals, and Retained Grade or Pay Appeals, and Fair Labor Standard Act (FLSA) Claims and Complaints ¹⁸ SORN	
	EEOC/GOVT-1 Equal Employment Opportunity in the Federal Government Complaint and Appeal Records ¹⁹ SORN	These records are maintained for one year after resolution of the case and then transferred to the Federal Records Center where they are destroyed after three years.
	DOL/GOVT-1 Office of Worker's Compensation Programs (OWCP), Federal Employees' Compensation Act File ²⁰ SORN	All case files and automated data pertaining to a claim are destroyed 15 years after the case file has become inactive. Case files that have been scanned to create electronic copies are destroyed after the copies are verified. Electronic data is retained in its most current form only, and as information is updated, outdated information is deleted. Some related financial records are retained only in electronic form, and destroyed six years and three months after creation or receipt.
	OPM/GOVT-10 Employee Medical File System Records ²¹ SORN	The Employee Medical Folder (EMF) is maintained for the period of the employee's service in the agency and is then transferred to the National Personnel Records Center for storage, or as appropriate, to the next employing federal agency. Other medical records are either retained at the agency for various

¹⁸ OPM/GOVT-9 File on Position Classification Appeals, Job Grading Appeals, Retained Grade or Pay Appeals, Fair Labor Standard Act (FLSA) Claims and Complaints, Federal Civilian Employee Compensation and Leave Claims, and Settlement of Accounts for Deceased Civilian Officers and Employees File on Position Classification Appeals, Job Grading Appeals, and Retained Grade or Pay Appeals, and Fair Labor Standard Act (FLSA) Claims and Complaints (October 1, 2013), 78 FR 60331, available at: <https://www.gpo.gov/fdsys/pkg/FR-2013-10-01/html/2013-23839.htm><https://www.gpo.gov/fdsys/pkg/FR-2013-10-01/html/2013-23839.htm>.

¹⁹ EEOC/GOVT-1 Equal Employment Opportunity in the Federal Government Complaint and Appeal Records (July 30, 2002), 67 FR 49338, available at: <https://www.gpo.gov/fdsys/pkg/FR-2002-07-30/html/02-18895.htm>.

²⁰ DOL/GOVT-1 Office of Worker's Compensation Programs, Federal Employees' Compensation Act File (January 11, 2012), 77 FR 1738, available at: <https://www.gpo.gov/fdsys/pkg/FR-2012-01-11/html/2012-345.htm>.

²¹ OPM/GOVT-10 Employee Medical File System Records (June 21, 2010), FR



	Basic Record Category	SORN	Record Retention Schedule
			lengths of time in accordance with the National Archives and Records Administration’s records schedules or destroyed when they have served their purpose or when the employee leaves the agency. Within 90 days after the individual separates from the federal service, the EMF is sent to the National Personnel Records Center for storage. Destruction of the EMF is in accordance with General Records Schedule-1(21). Records arising in connection with employee drug testing under Executive Order 12564 are generally retained for up to 3 years. Records are destroyed by shredding, burning, or by erasing the disk.
		DHS/ALL-022 Department of Homeland Security Drug Free Workplace ²² SORN	Records are destroyed after three years, in accordance with National Archives and Records Administration General Records Schedule 1, Item 36.
5	General System Access	DHS/ALL-004 General Information Technology Access Account Records System (GITAARS) ²³ SORN	Records are securely retained and disposed of in accordance with the National Archives and Records Administration’s General Records Schedule 24, section 6, “User Identification, Profiles, Authorizations, and Password Files.” Inactive records will be destroyed or deleted 6 years after the user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.
6	Customer Inquiries, Comments and Complaints	DHS/ALL-016 Department of Homeland Security Correspondence Records ²⁴ SORN	Executive-level records are permanent, and files are cut off annually and transferred to the National Archives and Records Administration 10 years after cut-off date, in accordance with National Archives and Records Administration General Schedule N1-563-07-13-4 (Pending NARA Approval). Non-executive level records are destroyed after 10 years, in accordance with a pending National Archives and Records Administration General Records Schedule.

73694, available at: <https://www.gpo.gov/fdsys/pkg/FR-2010-06-21/html/2010-14838.htm>.

²² DHS/ALL-022 Department of Homeland Security Drug Free Workplace (October 31, 2008), 73 FR 64974, available at: <https://www.gpo.gov/fdsys/pkg/FR-2008-10-31/html/E8-25971.htm>.

²³ DHS/ALL-004 General Information Technology Access Account Records System (GITAARS) (November 27, 2012), 77 FR 70792, available at: <https://www.gpo.gov/fdsys/pkg/FR-2012-11-27/html/2012-28675.htm>.

²⁴ DHS/ALL-028 Department of Homeland Security Correspondence Records System (November 10, 2008), 73 FR 66657, available at <https://www.gpo.gov/fdsys/pkg/FR-2008-11-10/html/E8-26691.htm>.



	Basic Record Category	SORN	Record Retention Schedule
7	Ethics Programs and Financial disclosures	OGE/GOVT-1 Executive Branch Personnel Public Financial Disclosure Reports and Other Name-Retrieved Ethics Program ²⁵ SORN	In accordance with the National Archives and Records Administration General Records Schedule for ethics program records, these records are generally retained for a period of six years after filing, or for such other period of time as is provided for in that schedule for certain specified types of ethics records. In cases where records are filed by, or with respect to, a nominee for an appointment requiring confirmation by the Senate when the nominee is not appointed and Presidential and Vice-Presidential candidates who are not elected, the records are generally destroyed one year after the date the individual ceased being under Senate consideration for appointment or is no longer a candidate for office. However, if any records are needed in an ongoing investigation, they will be retained until no longer needed in the investigation. Destruction is by shredding or electronic deletion.

²⁵ OGE/GOVT-1 Executive Branch Personnel Public Financial Disclosure Reports and Other Name-Retrieved Ethics Program (May 8, 2003), FR 24744, available at <https://www.gpo.gov/fdsys/pkg/FR-2003-01-22/html/03-1101.htm>.