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Department of Energy
Privacy Impact Assessment (PIA)

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Name of Project: Corporate Human Resources Information System (CHRIS)
Bureau: Department of Energy
Project's Unique ID: 019-60-01-17-01-1010-00-403-231
Date: August 24, 2007

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B. SYSTEM APPLICATION/GENERAL INFORMATION

1. Does this system contain any information about individuals?

Yes.

    a. Is this information identifiable to the individual[1]?

Yes.
    b. Is the information about individual members of the public?

Yes.

c. Is the information about employees?

Yes, the system contains human resources information for DOE federal employees.

2. What is the purpose of the system/application?

The CHRIS system is a *major application* supporting HR management throughout all of the DOE. This system addresses the entire Federal enterprise with functionality designed specifically to meet government requirements, including support for the following:

- Personnel Actions Request (PAR) - Supports the Standard Form (SF)-52 and other personnel documents for processing employee appointments, reinstatements, transfers, promotions, separations, retirements, and terminations. Leave, furloughs, and changes in tenure are also supported.

- Position Management and Classification - Tracks position data in addition to employee data and also supports management of a position description library, permitting budgeting at any organizational level needed.

- Staffing and Recruiting - Enables the creation of vacancy announcements and the evaluation of applicants. With its support for imaging and scanning products, redundant data entry is eliminated; captured data can be submitted through the workflow oriented SF-52 document process.

- Salary Administration - Maintains up-to-date compensation plans and processes locality adjustments, pay adjustments, allowances, differentials, and premium pay.
- Performance Management - Handles the awards budgeting process and tracking monetary awards, non-monetary awards, special (time-off) awards, and quality step increases.

- Training Administration - Supports a workflow/paperless oriented training environment; the Request, Authorization, Agreement, and Certification of Training (SF-182) process; and individual development plans (IDPs). Training programs and courses may be associated with positions. Facilities, instructors, equipment, materials, and costs can be tracked; enrollment letters, confirmation letters, and course completion certificates can be produced.

- Benefits Administration - Supports a workflow process for employees to view and update their benefits information in the system.

- ePerformance - Provides the online capability to create and maintain individual performance appraisals on DOE federal employees within the CHRIS/PeopleSoft major application.

- eOPF - Personal information is proposed to be transferred from the CHRIS/PeopleSoft database to OPM. The current plan is to transfer data in stages by sub agency. As a whole, this will be a one-time data transfer. The data will be used by OPM as the baseline for OPM to begin transitioning Official Personnel Files (OPFs) from hard copy to an electronic database in support of the E-Government Act of 2002 (Public Law 107-347).

Neither eOPF nor ePerformance are being used in the production database at this time. EOPF is scheduled to move into production in the third quarter of FY 2007. The E-Performance Management application is currently a small pilot conducted with NNSA and is not yet scheduled for full DOE use.

3. What legal authority authorizes the purchase or development of this system/application?

Department of Energy Authorization Act, Title 42, United States Code (U.S.C.), Section 7101 et. seq.; 52 U.S.C. 2401 et. seq.; Nuclear Policy Act of 1982, Public Law (Pub. L.) 97-45; Nuclear Waste Policy Amendment Act of 1987, Pub. L. 100-203; Government Employees Training Act of 1958; and Title 5, Code of Federal Regulations (CFR), Parts 410 and 412.

C. DATA in the SYSTEM:

1. What categories of individuals are covered in the system?

The categories of individuals include DOE federal employees and contact information in case of an for emergency notification.

2. What are the sources of the information in the system?

   a. **Is the source of the information from the individual or is it taken from another source? If not directly from the individual, then what other source?**

   The information is originally obtained from the individual to whom it pertains. However, the information in the system comes from processing of personnel actions by authorized DOE HR staff. Supervisors of DOE employees provide input for the ePerformance system.

   b. **What Federal agencies are providing data for use in the system?**

   None.

c. **What Tribal, State and local agencies are providing data for use in the system?**

None.

d. **From what other third party sources will data be collected?**

None.

e. **What information will be collected from the employee and the public?**

No information is collected from the public. However, information provided by the employee includes their name, social security number, home address, telephone numbers and emergency contact information that is entered in the system at time of hire. The information provided by the employee as to who should be contacted in case of an emergency consists of the following information: name of the contact, address, home, work and cellular telephone numbers, and relationship to employee. Since this information does not pertain to the employee it is considered information on members of the public.

3. **Accuracy, Timeliness, and Reliability**

   a. **How will data collected from sources other than DOE records be verified for accuracy?   N/A – Data is not collected from sources outside DOE.**

   b. **How will data be checked for completeness? Edits are built into the system to prevent incomplete or erroneous data entry.**

   c. **Is the data current? What steps or procedures are taken to ensure the data is current and not out-of-date? Data in the CHRIS system concerning DOE federal employees goes through workflow approval processes to ensure accuracy, completeness, and appropriate management approvals.**

   d. **Are the data elements described in detail and documented?** If yes, what is the name of the document?

   Yes, data elements are described in the CHRIS Users Manual.

D. ATTRIBUTES OF THE DATA:

1. Is the use of the data both relevant and necessary to the purpose for which the system is being designed?

All data in the system is relevant and necessary for DOE to perform its required responsibilities for administering HR management requirements for DOE federal employees.

ePerformance is being developed to comply with the E-Government Act of 2002 (Pub. L. 107-347). All data in the system is relevant and necessary for DOE to perform its required responsibilities for administration of DOE federal employees.

eOPF is being developed to comply with the E-Government Act of 2002 (Pub. L. 107-347). All data in the system is relevant and necessary for DOE and OPM to perform their required responsibilities for administration of DOE federal employees.

2. Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected, and how will this be maintained and filed?

The system generates new data concerning an individual in accordance with approved personnel actions (e.g., performance award, position change, promotion, retirement, etc.). ePerformance is an online tool for managers to create and maintain individual performance appraisals in accordance with federal guidelines. eOPF is creating an online repository for Official Personnel Files (OPFs). This data is filed and maintained as part of the individual's record.

3. Will the new data be placed in the individual's record?

Yes. In support of eOPF, personal data from CHRIS/PeopleSoft will be used to populate OPM's eOPF data system.

4. Can the system make determinations about employees/public that would not be possible without the new data?

No.

5. How will the new data be verified for relevance and accuracy?

Data in the CHRIS system concerning DOE federal employees goes through workflow approval processes to ensure accuracy, completeness, and appropriate management approvals. The ePerformance system incorporates a managerial review process.

6. If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?

Data is not being consolidated in the CHRIS/PeopleSoft system. With regard to eOPF, the data will be securely transferred using Connect: Direct with Secure+ and digital certificate. This allows transferring files over the Internet using Secure Sockets Layer (SSL) technology for data encryption and provides strong mutual authentication (reference OPM web page http://www.opm.gov/feddata/gr26.pdf).

7. If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access?

Processes are not being consolidated.

8. How will the data be retrieved?   Does a personal identifier retrieve the data? If yes, explain and list the identifiers that will be used to retrieve information on the individual.

Data may be retrieved by name, employee identification number, and social security number.

9. What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?
The system allows authorized DOE HR staff to produce reports on individuals or groups of individuals. The following reports may be produced by authorized HR staff:

- **Alpha List of Active Employees**

- **Awards Report**

- **Bargaining Unit Employees**

- **Organization (Profile) Report**

- **Social Security Number List of Active Employees**

The details of these reports are defined in the CHRIS User's Manual. These reports will be used only to perform required HR functions and activities.

The ePerformance system allows the individual, and authorized managers and DOE HR staff, to print copies of the appraisal. This report will be used only to perform required HR functions and activities.

10. What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses)?

The information in the CHRIS system is required for individuals to be employed by DOE. This information is necessary in order for DOE to properly pay and administer benefits to employees, track performance and meet training needs.

E. MAINTENANCE AND ADMINISTRATIVE CONTROLS:

1. If the system is operated in more than one site, how will consistent use of the system and data be maintained in all sites?

The system and data are maintained at a single site; however, DOE employees from across the Department who are responsible for the management and operation of the system may access the system via the DOE Network or Virtual Private Network (VPN) connection. These employees are trained to ensure the consistent use of this system across the DOE complex. Furthermore, an online User's Manual is provided and system help desk is provided to assist system users. ePerformance incorporates appraisal templates that can be tailored by HR personnel at each servicing HR office. Managers are trained to ensure the consistent use of this system across the DOE complex. Furthermore, an online User's Manual is provided and system help desk is provided to assist system users.

2. What are the retention periods of data in this system?

Data retention for DOE employee records stored in this system is conducted in accordance with DOE Administrative Records Schedule 1: Personnel Records, dated 8/18/03. (see http://cio.doe.gov/RBManagement/Records/PDF/RS-DOEADM01.PDF).

3. What are the procedures for disposition of the data at the end of the retention period? How long will the reports produced be kept? Where are the procedures documented?

The procedures for disposition of data in the system for DOE employees records are defined in DOE Administrative Records Schedule 1: Personnel Records, dated 8/18/03. (see http://cio.doe.gov/RBManagement/Records/PDF/RS-DOEADM01.PDF).

4. Is the system using technologies in ways that the DOE has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?

No.

5. How does the use of this technology affect public/employee privacy?

N/A

6. Will this system provide the capability to identify, locate, and monitor individuals? If yes, explain.

Yes, the purpose of this system is to allow authorized DOE HR staff to properly administer HR functions and activities and to accurately and securely maintain DOE personal records. In order to perform HR functions, the system must be capable of identifying and locating DOE federal employees. This system is not used to monitor individuals, other than to track their performance (ePerformance module).

7. What kinds of information are collected as a function of the monitoring of individuals?

For security purposes system, audit logs are maintained to record system activity and user activity. This activity includes invalid logon attempts and access and modification to data in the system.

8. What controls will be used to prevent unauthorized monitoring?

CHRIS has established policies and procedures for controlling and monitoring access to the system. These are defined in "Security Plan for the Corporate Human Resources Information System (CHRIS) Human Resources Management System (HRMS)", May 2007.

9. Under which Privacy Act systems of records notice does the system operate? Provide number and name.

The system operates under the following DOE Privacy Act systems of records:

- OPM – Govt-1 Personnel Records

- DOE – 2 Supervisory Maintained Personnel Records

- DOE – 28 General Training Records

10. If the system is being modified, will the Privacy Act system of records notice require amendment or revision? Explain.

No.

F. ACESS TO DATA:

1. Who will have access to the data in the system?

CHRIS/PeopleSoft. Authorized DOE HR federal and contractor personnel will have access to view specific data in the system based on their role and responsibility.

2. How is access to the data by a user determined?

Access is restricted by job roles and responsibilities.

3. Will users have access to all data in the system or will the user's access be restricted?

Authorized DOE HR staff is provided access based on role and responsibility in order to perform required HR functions and activities. System Administrators and help desk staff have access to all data in the system in order to maintain the system and assist users with issues and problems.

4. What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?

Technical and administrative controls are in place to prevent the misuse of data by individuals with access. The technical controls include restricted access via user-id and password based on user responsibility and job function. These access controls are defined in the system security plan. All system team members (Federal and contractor) are required to take the DOE standard cyber security certification course as a necessary prerequisite for the system access. Rules of behavior and consequences for violating the rules are displayed to the user each time the user logs onto the system. Administrative controls include separation of duties so individuals only have access to appropriate pieces of personal information, and use of system audit logs to monitor access and user activity in the system.

5. Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system? If yes, were Privacy Act contract clauses inserted in their contracts and other regulatory measures addressed?

Yes, contractors were involved in the design and development and are involved in the maintenance of the system. Personal information from CHRIS may be disclosed to these contractors and their officers and employees in performance of their contracts. Individuals provided this type of information are subject to the same limitations applicable to DOE officers and employees under the Privacy Act, 5 U.S.C. 552a.

Pertinent contract language states that data covered by the Privacy Act may be disclosed to contractors and their officers and employees. Any information that is obtained or viewed shall be on a need-to-know basis. Contractors are required to safeguard all information that they may obtain in accordance with the provisions of the Privacy Act and the requirements of the DOE. The contractor shall ensure that all DOE documents and software processed, and the information contained therein, are protected from unauthorized use and mishandling by assigned personnel.

6. Do other systems share data or have access to the data in the system? If yes, explain.

Yes, the CHRIS system interfaces with following systems:

- **ESS – Provides CHRIS system Thrift Savings Plan data, education, competency, emergency contact, disability, and ethnic origin information.**

- **DOEInfo – Provides CHRIS system email, home address, LWOP data and receives Thrift Savings Plan data, education, competency, emergency contact, disability, and ethnic origin information from CHRIS.**

- **DISCAS – Receives training accounting data from CHRIS system.**

- **OPM – Receives CPDF and Benefit information from CHRIS system.**

7. Who will be responsible for protecting the privacy rights of the public and employees affected by the interface?

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8. Will other agencies share data or have access to the data in this system?

Yes, OPM.

9. How will the data be used by the other agency?

To assist in administering employee benefits.

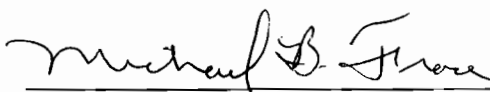**10. Who is responsible for assuring proper use of the data?**

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The Following Officials Have Approved This Document
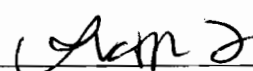
1) System Owners

_____ (Signature) _____ (Date)
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Title: Director, IT Project Management, Office of Human Capital Management, HC-25

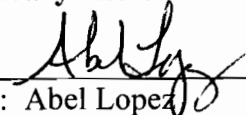_____ (Signature) _8/30/07_ (Date)
Name: Michael Fraser

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2) Information Owner

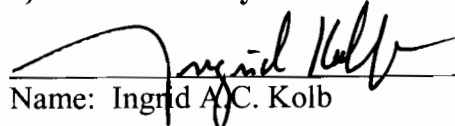_____ (Signature) _8/31/07_ (Date)
Name: Rita Franklin

Title: Deputy Chief Human Capital Officer
Office of Human Capital Management, HC-1

3) Privacy Act Officer

_____ (Signature) _9/6/07_ (Date)
Name: Abel Lopez

Title: Director, Freedom of Information Act and Privacy Act Officer

4) Senior Privacy Official

_____ (Signature) _9-7-07_ (Date)
Name: Ingrid A. C. Kolb

Title: Senior Agency Official for Privacy
Director, Office of Management

Privacy Impact Assessment for CHRIS
4/24/07