

Department of Energy
Privacy Impact Assessment

Name of Project: Savannah River Site Management and Operating (M&O) Contractor Human Resource Management System (HRMS) (includes Time and Attendance (TACS) application and People Warehouse) – Savannah River Site (SRS) Site Applications Accreditation Boundary
Bureau: Department of Energy – Savannah River Operations Office
Project's Unique ID: UPI Code: 019-10-01-15-01-1057-04
Date: August 13, 2008

A. CONTACT INFORMATION:

1) Who are the person(s) completing this document?

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2) Who is the system owner?

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3) Who is the system manager for this system or application?

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4) Who is the IT Security Manager who reviewed this document?

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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 individual¹? Yes

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

The primary purpose of the PeopleSoft HRMS application is to manage payroll, pension, benefits and human resources data active employees, former employees, retirees, beneficiaries and dependants of active and former employees of the Savannah River Site Management and Operating (SRS M&O) contractor. For purposes of this PIA, only former employees, retirees, their survivors and beneficiaries are included.

c. Is the information about DOE or contractor employees? Yes.

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

The primary purpose of the People HRMS application is to manage payroll, pension, benefits and human resources data active employees, former employees, retirees, beneficiaries and dependants of active and former employees of the SRS M&O contractor. For purposes of this PIA, only former employees, retirees, their survivors and beneficiaries are included.

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

42 U.S.C. [United States Code] 7101 *et seq.*; 50 U.S.C. 2401 *et seq.*; 50 U.S.C. 2401 *et seq.* and the Memorandum of Understanding between the Department of Energy and the Department of Health and Human Services, 56 FR 9701, March 7, 1991.

C. DATA IN THE SYSTEM:

1) What categories of individuals are covered in the system? Contractor

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? Information is obtained from the former employees, dependants and survivors.

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.

¹ "Identifiable Form" – According to the OMB Memo M-02-22, this means information in an IT system or online collections: (i) that directly identifies an individual (e.g., name, address, social security number or other identifying number or code, telephone number, email address, etc.) or (ii) by which an agency intends to identify specific individuals in conjunction with other data elements, i.e., indirect identification. (These data elements may include a combination of gender, race, birth date, geographic indicator, and other descriptors).

- e. **What information will be collected from the individual and the public?** The system collects name, social security number (SSN), home address and phone number, race, gender, date of birth, emergency contact information, dependent personal information including SSN, and bank account information for direct deposits from the employees.

3) Accuracy, Timeliness, and Reliability

- a. **How will data collected from sources other than DOE records be verified for accuracy?** Data can be changed by contacting the service center. Therefore, it is determined that the information is accurate, timely, and complete at the time it was provided.
- b. **How will data be checked for completeness?** Data will be manually and electronically reviewed for completeness.
- c. **Is the data current? What steps or procedures are taken to ensure the data is current and not out-of-date?** The information collected is reviewed regularly to ensure that necessary data are current for former employees, dependents and survivors. Therefore, it is determined that the information is accurate, timely, and complete at the time it was provided.
- d. **Are the data elements described in detail and documented?** The data elements are described and documented within the PeopleSoft Metadata PeopleTools Data models.

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?**

Yes. All data collected is relevant and necessary for WSRC to perform its required human resources responsibilities to manage benefits, pension data, and human resources data for former employees, dependents, and survivors.
- 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?**

No
- 3) **Will the new data be placed in the individual's record?**

N/A
- 4) **Can the system make determinations about employees/public that would not be possible without the new data?**

N/A
- 5) **How will the new data be verified for relevance and accuracy?**

N/A

- 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 this system. Information on former employees is available only to the Work Force Restructuring (WFR) application and that is on a very limited basis (i.e., employees who are impacted by the WFR action).

- 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 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.**

(PeopleSoft) uses a unique employee identifier (emplid) that is specific to the application. Data can also be retrieved by using other identifiers, such as SSN.

- 9) What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?**

Reports can be produced for individuals that include human resources, payroll, and benefits administration information. Reports are used for management and administration, as well as federal and state reporting requirements. Access to reports is controlled based on need-to-know and the principle of least privilege.

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

Collection of the information in the WSRC HRMS system is required to be able to provide compensation and benefits to former employees, dependents, and survivors. Access to or use of the information provided will be limited to WSRC personnel directly involved in the HRMS system. If the information is not provided, WSRC will not be able to provide compensation and benefits to former employees, dependents, and survivors and to manage the payroll.

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 is operated only at the DOE-SR.

- 2) What are the retention periods of data in the system?**

Retention periods are in accordance with applicable DOE and National Archives Records Administration (NARA) record schedules. Additional information can be obtained at <http://cio.energy.gov/records-management/adminrs.htm>.

- 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?**

Retention periods are in accordance with applicable DOE and National Archives Records Administration (NARA) record schedules. Additional information can be obtained at <http://cio.energy.gov/records-management/adminrs.htm>.

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

N/A

- 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?**

No

- 7) **What kinds of information are collected as a function of the monitoring of individuals?**

N/A

- 8) **What controls will be used to prevent unauthorized monitoring?**

N/A

- 9) **Under which Privacy Act system of records notice does the system operate?**

DOE-5 Personnel Records of Former Contractor Employees

- 10) **If the system is being modified, will the Privacy Act system of records notice require amendment or revision?**

No

F. ACCESS TO DATA:

- 1) **Who will have access to the data in the system?**

Only authorized individuals will have access to the information based on need-to-know and the principle of least privilege. Furthermore, the appropriate local, state or federal agencies will use certain records maintained in HRMS to ensure Departmental compliance with other regulatory requirements. Access to or use of the information provided will be limited to authorized individuals for required management and reporting.

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

The system owner determines who has access. Access to data is on a need-to-know basis in accordance with the job roles and responsibilities of individuals.

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

User's access will be restricted based on the need for access to data.

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 administrative controls include annual training emphasizing that it is the individual's responsibility to protect data that they have access to, and that misuse of that data will not be tolerated. The technical controls include audit feature that tracks employees' actions within the system. Additionally, key data fields are logged in an on-going basis and as required by Internal Audit.

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 included in their contracts and other regulatory measures addressed?

Contractors are involved in the design, development, and maintenance of the system. Personal information may be disclosed to these contractors and their officers and employees in performance of their contracts. Those individuals provided this type of information is 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?

N/A

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

Permission must be granted by the system owner for other systems to have access to data within the PeopleSoft application. Once provided, it is the responsibility of the other system owners to protect the data provided by PeopleSoft.

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

No

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

N/A

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

N/A

PIA Approval Signatures

Original copy signed and on file with the DOE Privacy Office.