| Affects Members Of the Public? | Mark if Applicable w/ an X |
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| | |

# Department of Energy
## Privacy Impact Assessment (PIA)

**Guidance is provided in the template. See DOE Order 206.1, *Department of Energy Privacy Program,* Appendix A, Privacy Impact Assessments, for requirements and additional guidance for conducting a PIA:** http://www.directives.doe.gov/pdfs/doe/doetext/neword/206/o2061.pdf

**Please complete form and return via email to Privacy@hq.doe.gov**

**No hand-written submissions will be accepted**.

**This template may not be modified.**

## MODULE I – PRIVACY NEEDS ASSESSMENT

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| **Date** | May 16, 2024 |
| **Departmental Element & Site** | Office of the Chief Financial Officer, Headquarters |
| **Name of Information System or IT Project** | Department of Energy ePerformance Management System (DOE ePM) |
| **Exhibit Project UID** | 019-000000122 |
| **New PIA** [X]  **Update** [ ] | ePerformance has had several OS updates (Windows Server 2012 R2 upgraded to Windows Server 2019); currently undergoing MFA/OneID Integration. |

| | Name, Title | Contact Information Phone, Email |
|---|---|---|
| **System Owner** | Merle Shafer Office of Corporate Business Systems (CF-40) Office of the Chief Financial Officer (CF) U.S. Department of Energy | Merle.Shafer@hq.doe.gov 202-664-3002 |

# MODULE I – PRIVACY NEEDS ASSESSMENT

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| **Local Privacy Act Officer** | Ana Manchester<br>Office of Corporate Business Systems (CF-40)<br>Office of the Chief Financial Officer (CF)<br>U.S. Department of Energy | Ana.Manchester@hq.doe.gov<br><br>(301) 903-4792 |
| **Cyber Security Expert** reviewing this document (e.g., ISSM, CSSM, ISSO, etc.) | Robert Baring,<br>Office of Corporate Business Systems (CF-40)<br>Office of the Chief Financial Officer (CF)<br>U.S. Department of Energy | Robert.Baring@hq.doe.gov<br><br>(240)-243-5796 |
| **Person Completing this Document** | Merle Shafer<br>Office of Corporate Business Systems (CF-40)<br>Office of the Chief Financial Officer (CF)<br>U.S. Department of Energy | Merle.Shafer@hq.doe.gov<br><br>202-664-3002 |
| **Purpose of Information System or IT Project** | ePerformance is an electronic system designed to automate the performance planning and appraisal process used to evaluate Federal employees, including both General Schedule (GS) and Senior Executive Service (SES) employees.  The ePerformance solution is able to directly transfer performance evaluation files into OPM's Electronic Official Personnel Files (eOPF) system, resulting in a cost savings over alternate solutions, ease of acquisition, and all of the benefits associated with electronic performance management.<br><br>DOE's use of the ePerformance system ensures compliance with federal regulations governing the employee evaluation and rating process, promotes federal performance management best practice, and was built upon a set of core federal requirements that may be configured to meet agency-specific needs.  ePerformance offers flexibility to meet the changing needs of managing DOE employee performance plan activities. | |
| **Type of Information Collected or Maintained by the System**: | ☒ SSN Social Security number<br><br>☐ Medical & Health Information e.g., blood test results<br><br>☐ Financial Information e.g., credit card number<br><br>☐ Clearance Information e.g., "Q"<br><br>☐ Biometric Information e.g., fingerprint, retinal scan<br><br>☐ Mother's Maiden Name<br><br>☒ DoB, Place of Birth – Date of birth only<br><br>☒ Employment Information – Employee Grade, Job Performance Reviews, and Raise/Bonus information<br><br>☐ Criminal History | |

# MODULE I – PRIVACY NEEDS ASSESSMENT

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| | ☒ Name, Phone, Address– Name, work address and phone number<br>☒ Other: Electronic Signature |
| **Has there been any attempt to verify PII does not exist on the system?**<br><br>**DOE Order 206.1,** *Department of Energy Privacy Program,* **defines PII as** *any information collected or maintained by the Department about an individual, including but not limited to, education, financial transactions, medical history and criminal or employment history, and information that can be used to distinguish or trace an individual's identity, such as his/her name, Social Security number, date and place of birth, mother's maiden name, biometric data, and including any other personal information that is linked or linkable to a specific individual.* | No |
| **If "Yes," what method was used to verify the system did not contain PII? (e.g., system scan)** | N/A |

## Threshold Questions

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| 1. **Does system contain (collect and/or maintain), or plan to contain any information about individuals?** | Yes |
| 2. **Is the information in identifiable form?** | Yes |
| 3. **Is the information about individual Members of the Public?** | No |
| 4. **Is the information about DOE or contractor employees?** | Yes<br>☒ Federal Employees<br>☐ Contractor Employees |

If the answer to **all** four (4) Threshold Questions is "**No**," you may **proceed to the signature page** of the PIA. Submit the completed PNA with signature page to the CPO.

**Module II must be completed for all systems if the answer to any of the four (4) threshold questions is "Yes." All questions must be completed. If appropriate, an answer of N/A may be entered.**

The goal of the threshold questions is to legitimately and efficiently determine whether additional assessment is necessary. If there is doubt, it is in the System Owner's best interest to complete Module II.

# MODULE I – PRIVACY NEEDS ASSESSMENT

PIAs affecting Members of the Public are posted on the DOE Privacy website. For this reason, PIAs affecting Members of the Public should be written in plain language and at a high level so they are easily understandable and do not disclose sensitive information.

# END OF PRIVACY NEEDS ASSESSMENT

# MODULE II – PII SYSTEMS & PROJECTS

## AUTHORITY, IMPACT & NOTICE

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| **1. AUTHORITY**<br><br>**What specific authorities authorize this system or project, and the associated collection, use, and/or retention of personal information?** | Department of Energy Authorization Act, Title 42, United States Code (U.S.C), Section 7101 et. seq., 50 U.S.C. 2401 et. Seq. |
| **2. CONSENT**<br><br>**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)?** | Data on the employees (individuals) in the system is pre-populated and updated periodically through a data feed from CHRIS and Bonneville Power Administration (BPA).<br><br>All employee evaluation data and information on the employee is restricted to authorized users of the system. Both rating officials and employees provide electronic signatures on key documents in the system, including performance plans and reviews. Evaluations are completed by the rating official for the employee. While the information placed in the system by the rating official is shared with the subject employee, the employee is not required to agree with or consent to any of the particulars of the review. In addition, employees are permitted to offer their own comments on performance plans and reviews. |

# MODULE II – PII SYSTEMS & PROJECTS

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| **3. CONTRACTS**<br><br>**Are contractors involved with the design, development and maintenance of the system? If yes, was the Privacy Order CRD or Privacy Act clauses included in their contracts?** | Contractors were involved with the design and development of the system and will be involved with the maintenance of the system. Contractors also serve as system administrators with access to PII maintained in the system. Thus, information may be disclosed to contractors with these roles in performance of their contract.<br><br>Contractors provided this information are subject to the same limitation applicable to DOE officers and employees under the Privacy Act, 5 U.S.C. 552a.<br><br>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 they may obtain in accordance with the provisions of the Privacy Act and the requirements of 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. |
| **4. IMPACT ANALYSIS:**<br><br>**How does this project or information system impact privacy?** | ePerformance is categorized as a Moderate risk system due to the collection and use of sensitive PII, including SSNs.<br><br>The unauthorized disclosure of employee PII and/or rating information is expected to have a serious adverse effect on organizational operations, organizational assets, or individuals, due to the sensitive nature of the PII used by this system and the negative impact to employees and employee performance records if this PII is misused. |
| **5. SORNs**<br><br>**How will the data be retrieved? Can PII be retrieved by an identifier (e.g., name, unique number or symbol)?**<br><br>**If yes, explain, and list the identifiers that will be used to retrieve information on the individual.** | There will be two uses of Personally Identifiable Information in the ePerformance application. The first will be to identify the SES employees that will be evaluated.<br><br>The second use is through an employee search screen accessible to users assigned to the Supervisor role and enables the user to search for employees within their assigned PO ID(s), which are internal DOE Personnel Office Identifiers (e.g., "CF" for the Office of the Chief Financial Officer). |

# MODULE II – PII SYSTEMS & PROJECTS

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| **6. SORNs**<br><br>**Has a Privacy Act System of Records Notice (SORN) been published in the *Federal Register*?**<br><br>**If "Yes," provide name of SORN and location in the *Federal Register*.** | ePerformance is a product that was originally created for OPM, which falls under OPM/GOVT-2, Federal Register: June 19, 2006 (Volume 71, Number 117), *Employee Performance File System Records*.<br><br>ePerformance also falls under the following:<br><br>DOE-2, *DOE-Personnel Supervisor Maintained Personnel Records*, Federal Register: January 9, 2009 (Volume 74, Number 6, page 999-1000)<br><br>DOE-8, *Intergovernmental Personnel Act (IPA) Agreement.*  The DOE SORNs cover DOE-specific information entered into the ePerformance system. |
| **7. SORNs**<br><br>**If the information system is being modified, will the SORN(s) require amendment or revision?** | No. |
| **DATA SOURCES** | |
| **8. What are the sources of information about individuals in the information system or project?** | There are two sources of information about individuals in the information system project. One is a data feed from CHRIS and BPA that populates an employee's information that is entered in the system for a SES evaluation. The second source is the manual entry of GS employee information, which includes creating new user accounts. With these records in the system, authorized users complete performance evaluations with both GS and SES employees and enter information about the evaluations into the system. |
| **9. Will the information system derive new or meta data about an individual from the information collected?** | The SES and GS performance plan and evaluation is created and stored in this system.<br><br>No meta data is used or created. |
| **10. Are the data elements described in detail and documented?** | The data elements are described in the ePerformance security documentation. |
| **DATA USE** | |

# MODULE II – PII SYSTEMS & PROJECTS

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| **11. How will the PII be used?** | There are two uses of Personally Identifiable Information in the ePerformance application.  The first identifies the employees to be evaluated.<br><br>The second use is through an employee search screen accessible to users assigned to the Supervisor role and enables the user to search for employees within their assigned PO ID(s). |
| **12. If the system derives meta data, how will the new or meta data be used?**<br><br>**Will the new or meta data be part of an individual's record?** | The performance plan and evaluation are created and stored in this system.<br><br>No meta data is used or created. |
| **13. With what other agencies or entities will an individual's information be shared?** | There is an interconnection with OPM's eOPF system to transfer PDF copies of the signed and completed performance plans to the employee's Official Personnel Folder in accordance with appropriate Privacy Act SORN routine uses. |
| **Reports** | |
| **14. What kinds of reports are produced about individuals or contain an individual's data?** | Employee performance reviews are stored in this system.<br><br>Privileged users can run the following reports:<br><br>• Report of Deleted Plans<br>• Validation Exception Report<br>• Final Rating Listing<br>• On Hold Plans Report<br>• Plan Admin Reroute Detail Report<br>• Plan Creation Status<br>• Plan Status<br>• Plan Task Status<br>• Progress Review Status<br>• Rating Official/Reviewing Official Assignment<br>• Summary Rating<br>• Performance Plan document |

PRIVACY
PROGRAM

# MODULE II – PII SYSTEMS & PROJECTS

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| **15. What will be the use of these reports?** | Most of these reports are used to support the employee performance plan and evaluation process, including documenting the completion status of employee performance ratings by Rating and Reviewing officials.<br><br>Other reports are used to provide privileged users with status updates to during the performance review process. |
| **16. Who will have access to these reports?** | Authorized ePerformance users based on their permissions within the system. |
| **Monitoring** | |
| **17. Will this information system provide the capability to identify, locate, and monitor individuals?** | No. The ePerformance application does not have the ability to identify, locate, or monitor individuals. |
| **18. What kinds of information are collected as a function of the monitoring of individuals?** | N/A. |
| **19. Are controls implemented to prevent unauthorized monitoring of individuals?** | N/A. |
| **DATA MANAGEMENT & MAINTENANCE** | |
| **20. How will records about individuals be kept current and verified for accuracy, relevance and completeness? Include PII data collected from sources other than DOE records.** | The data feeds from CHRIS and BPA to the ePerformance system will be run on an as needed basis to keep the employee information updated.<br><br>Once the performance review data is confirmed by the employee, rater, and reviewing official, it is reviewed and analyzed by privileged users to verify accuracy, relevance, and completeness. |
| **21. If the information system is operated in more than one site, how will consistent use of the information be ensured at all sites?** | The ePerformance system will be operated at DOE Headquarters. The information in the system is used only for the purpose of supporting the employee performance process consistent with applicable laws and policies. |
| **Records Management** | |

# MODULE II – PII SYSTEMS & PROJECTS

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| **22. Identify the record(s).** | Records for ePerformance relate to employee management, employee performance, and supervisor personnel files:<br><br>• Employee Name, SSN, Birth Date, eOPF LoginID, email address<br><br>• Employment Status, Probationary Status and Date, Agency Name and Code, Personnel Office Identifier, Position data (Titles and Names, Organizations, Occupations Series Codes, Work Schedule, Appointment type, grade, pay plan, Bargaining Unit, Duty Station, FLSA Category, supervisory level, rating official) |
| **23. Identify the specific disposition authority(ies) that correspond to the record(s) noted in no. 22.** | ePerformance records have been scheduled electronically and fall under:<br><br>GRS 2.2 Employee Management Records Items 010, 070, 071, 072, 073, and 080:<br><br>• 010 Employee management administrative records<br>• 070 Employee performance file system records: Acceptable performance appraisals of non-senior executive service employees.<br>• 071 Employee performance file system records: Unacceptable performance appraisals of non-senior executive service employees.<br>• 072 Employee performance file system records: Records of senior executive service employees.<br>• 073 Employee performance file system records: Performance records superseded through an administrative, judicial, or quasi-judicial procedure.<br>• 080 Supervisors' personnel files. |
| **24. Records Contact** | Sean Kennedy, Records Manager<br><br>sean.kennedy@hq.doe.gov<br><br>(240) 315-6772 |

## ACCESS, SAFEGUARDS & SECURITY

## MODULE II – PII SYSTEMS & PROJECTS

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| **25. What controls are in place to protect the data from unauthorized access, modification or use?** | The DOE ePM system has fully described the current security control baseline in the DOE ePM Security Plan dated July 17, 2024.<br><br>ePerformance received an ATO on 1/24/2017<br><br>To prevent unauthorized access to the application each user is required to review, approve, and sign the DOE ePM Rules of Behavior.  Once the Rules are signed the user must be approved by a DOE ePM Federal POC before an account is created for them.  The users are then trained on the appropriate uses of the system before they are granted full access. |
| **26. Who will have access to PII data?** | Authorized users of the DOE ePM system will have access to PII data. |
| **27. How is access to PII data determined?** | Authorized users of the DOE ePM system are assigned rights in the system based on their job requirement for access to the information in the system. |
| **28. Do other information systems share data or have access to the data in the system? If yes, explain.** | CHRIS and BPA has a data feed with employee information into DOE ePM. There is an interconnection with OPM's eOPF system to transfer PDF copies of the signed and completed performance plans to the employee's Official Personnel Folder. The Department's Performance Review Board (PRB) and ePM have a two-way interface transferring human resource information. |
| **29. For connecting information systems, is there an Interconnection Security Agreement (ISA) or other agreement between System Owners to ensure the privacy of individuals is protected?** | Yes, the connecting information systems have an Interconnection Security Agreement (ISA).  The agreement covers the Department of Energy and the Bonneville Power Administration (BPA). |
| **30. Who is responsible for ensuring the authorized use of personal information?** | The System Owner, the Chief Financial Officer, and the Director for Corporate Information Systems |

## END OF MODULE II

## SIGNATURE PAGE

| | Signature | Date |
|---|---|---|
| **System Owner** | **Merle Shafer**<br>_____<br>(Print Name)<br><br>_____<br>(Signature) | _____ |
| **Local Privacy Act Officer** | **Ana Manchester**<br>_____<br>(Print Name)<br><br>_____<br>(Signature) | _____ |
| **Chief Privacy Officer** | **William K. Hunt**<br>_____<br>(Print Name)<br><br>_____<br>(Signature) | _____ |