

**PRIVACY IMPACT ASSESSMENT
SUPPLEMENTAL NARRATIVE STATEMENTS**

EHRI ELECTRONIC OFFICIAL PERSONNEL FOLDER (EOPF) 2008

2.1 IT System or Electronic Information Collection Identification

(h) What is the purpose of the IT system or electronic information collection and why is the information being collected?

The eOPF is a web based electronic system based on the Official Personnel Folder (OPF). The purpose of eOPF is to provide an electronic means of gathering human resource processing form images and provide agency access to the form images via the internet. The eOPF system was developed in support of the e-Government initiative to move towards a paperless environment. The eOPF system provides agency users with the ability to view their personnel folder and Human Resource Specialists with the ability to improve operational efficiency by replacing a paper-based records management system with an electronic system.

3.1 Nature and Source of Information to Be Collected

(a) What is the nature of the information to be collected? Review OPM's web site development policy.

Provide a brief narrative describing the nature of the information, i.e., financial, investigative, pre-employment, human resources, etc.

Provide a brief narrative here:

Electronic data and images of employees career HR data (e.g., SF50s, NOAs, etc. The Official Personnel Folder is a file containing records that covers a civilian Federal employee's employment history. The Office of Personnel Management (OPM) and the agency human resources (HR) offices use these documents to make decisions about employees' rights, benefits, and entitlements throughout their careers.

The eOPF is an electronic version of the paper OPF, providing Web-enabled access for Federal employees and HR staff to view eOPF documents. Agencies may also provide eOPF access to special investigators, helping to speed the investigation process and save agency resources.

3.2 Reason for Collection of Information

(a) Why is the information being collected?

Provide a brief narrative here:

Converts HR processes from paper based to electronic based processing.

The Office of Management and Budget (OMB) has established firm milestones that all Executive Branch Agencies eliminate paper OPFs by October 2012. EHRI offers proven, cost-effective solutions to ease an Agency's transition to electronic OPFs (eOPFs) and improve workforce planning with insightful analysis and reporting capabilities. All solutions are fully compliant with OPM and Federally mandated HR employee record management regulations.

The process of moving from a paper based system to electronic records management can be a daunting one, especially given scarce resources. The EHRI PMO has the expertise and established best practices to maximize Agency results while minimizing negative impacts.

3.3 Intended Use of the Collected Information

(a) What is the intended use of the information?

Provide a brief narrative here:

Replace the paper based OPF with an electronic version to support knowledge based work force management.

Benefits to Agency Executives using eOPF:

- Enterprise-wide workforce visibility by enabling departments with multiple HR systems to have visibility of their entire workforce
- Improved workforce management by providing access to personnel data across the Federal Government to facilitate analysis/planning for hiring, skills development, retention strategies, and forecasting employee movements to ensure qualified personnel are in place
- Cost savings by reducing document storage, maintenance, and retrieval costs as well as copying, filing, faxing, and mailing requirements
Enhanced security via a multi-level secure environment with document access that is restricted to a need-to-know basis, as well as a comprehensive audit trail for all activity
- Continuity of operations and disaster recovery with offsite electronic record storage capabilities and backed-up data safeguarding against theft, fire, flood, and other damage to paper folders
- Better accessibility through immediate and secure Web-based access to folders, simplifying daily procedures, eliminating delays, supporting remote workers, and facilitating interagency collaboration

Benefits to HR Specialists using eOPF: EHRI's eOPF solution increases productivity and efficiency, and frees HR staff to work directly with the Federal employee to solve issues and answer questions.

- Reduce re-work caused by inaccurate or missing personnel data/folders
- Enable more efficient, accurate workforce planning and human capital management
- Eliminate oversight of employee review of personnel folders
- Enhance accuracy, portability and security of personnel records
- Provide Immediate access to employee data for a geographically dispersed workforce

Benefits to Employees using eOPF: An Agency may grant access to eOPF for all employees to view their personnel data, which increases employee awareness and accountability. Additionally, eOPF facilitates the electronic filing of SF-50 data and automates employee notification of actions through email alerts.

(b) For major IT investments as defined in OMB Circular a-11, a high-level Data flow diagram must be prepared.

Provide a high-level data flow diagram (up to two pages) showing the steps in processing the data, and the uses to which the data will be put. Attach the data flow diagram to this assessment.

For more information, contact the IT Security and Privacy Manager, MSD/CIS/PPG at 202-606-2150.

Reference attached document

- Title: NBC Lakewood – eOPF Production
- Filename: Q3.4 EHRI_eOPF Environment - IA Server 01 & 02.pdf

3.4 Purpose and Identification of Information to be Shared

(a) Does the system share personally identifiable information (PII) in any form?

The Guide to Personnel Record Keeping and the eOPF Master Forms list details what forms are maintained in the employee eOPF. These forms are images that contain PII information and are shared with agency Human Resource Subject Matter Experts (SMEs), agency managers, agency EEO personnel, OPM investigators, agency oversight personnel, and employees.

The Guide to Personnel Record Keeping and eOPF Master Forms List are included in the eOPF PIA submission.

3.5 Opportunities Individuals Have to Decline to Provide Information or to Consent to Particular uses of the information

(b) Are individuals informed about required or authorized uses of the Information?

Yes - Reference attached documents:

- 1) **Privacy Act Statement**
Document Title: Enterprise Human Resources Integration (EHRI)
An OPM e-Gov Project Privacy Policy
Filename: Q3.5b_EHRI PrivacyPolicy_eOPF and DW
- 2) **Terms of Condition**
Document Title: Full Terms and Conditions of Use
Filename: Q3.5b EHRI Full Terms and Conditions of Use eOPF and DW
- 3) **Rules of Behavior**
Document Title: RULES OF BEHAVIOR FOR ALL PERSONS OF
ENTERPRISE HUMAN RESOURCES INTEGRATION

(EHRI) SYSTEMS

Filename: Q3.5b EHRI_ eOPF Rules of Behavior

3.6 Security of Information

(a) Has the system been authorized to process information?

Yes - Reference attached documents:

1) **Information System Security Plan (ISSP)**

Document Title: Office of Personnel Management
Enterprise Human Resources Integration
Electronic Official Personnel Folder (eOPF) Security Plan
Filename: Q3.6a and 3.6b eOPF Final SP 092407

2) **Risk Assessment and Mitigation Plan**

Document Title: Office of Personnel Management
Enterprise Human Resources Integration
eOPF Risk Assessment
Filename: Q3.6a eOPF Final RA 092407

Document Title: Plan of Actions and Milestones
U.S. Office of Personnel Management
Human Resources Line of Business
EHRI eOPF 08/13/08
Filename: Q3.6a POA&M - EHRI eOPF 2008-08-13

3) **Self Assessment** (encompasses requested documents: Security Requirements Traceability Matrix; Security Test and Evaluation Report)

Document Title: Enterprise Human Resources Integration eOPF
Self Assessment
Filename: Q3.6a and 3.6c eOPF annual assessment 092407

4) **Contingency and Disaster Recovery Plans**

Document Title: United States Office of Personnel Management
Enterprise Human Resources Integration (EHRI)
eOPF Contingency Plan – Version 4.0
Filename: Q3.6a and 3.6d EHRI eOPF CP - Updated 082808 Final

5) Certification Statement

Document Title: eOPF Certification and Accreditation Package (Memo)
Filename: Q3.6a eOPF Cert Letter

6) Accreditation Recommendation

Document Title: Enterprise Human Resources Integration
eOPF Security Accreditation Statement
Filename: Q3.6a eOPF ATO Letter

(b) Is an annual review of the IT system or electronic information collection Conducted as required by the Federal Information Security Management Act (FISMA)?

Yes - Reference attached documents:

1) Information System Security Plan (ISSP) – (See Appendix D)

Document Title: EHRI eOPF Security Plan
Filename: Q3.6a and 3.6b eOPF Final SP 092407

(c) Are security controls annually tested as required by FISMA?

Yes - Reference attached documents:

1) Self Assessment (encompasses requested documents: Security Requirements Traceability Matrix; Security Test and Evaluation Report)

Document Title: Enterprise Human Resources Integration Data
eOPF Self Assessment
Filename: Q3.6a and 3.6c eOPF annual assessment 092407

(d) Are contingency plans tested annually as required by FISMA?

Yes - Reference attached documents:

1) Contingency and Disaster Recovery Plans

Document Title: United States Office of Personnel Management
Enterprise Human Resources Integration (EHRI)
eOPF Contingency Plan – Version 4.0
Filename: Q3.6a and 3.6d EHRI eOPF CP - Updated 082808 Final

RULES OF BEHAVIOR FOR ALL USERS FOR ENTERPRISE HUMAN RESOURCES INTEGRATION'S eHR SYSTEM

The EHRI project office is responsible for ensuring an adequate level of protection and security is afforded to the eHR system. The requisite level of protection and security is accomplished through an appropriate mix of technical, administrative, and managerial controls including written guidance. Because written guidance cannot cover every contingency, the following Rules of Behavior are provided to further stipulate the responsibility of the users of the eHR System.

All persons must understand that these Rules of Behavior are based on Federal laws and regulation and, as such, there are consequences for violation of these rules. Depending on the severity of the violation, at the discretion of management and with due process of law, consequences can include: reprimand; removal of access privileges; suspension, demotion, or termination from work; and criminal and civil penalties.

Rules of Behavior

I understand that, when using the eHR System, I am personally accountable for my actions and that I must:

1. Protect data in accordance with the Privacy Act of 1974;
2. Protect sensitive information from disclosure to unauthorized individuals or groups;
3. Acquire and use sensitive information only in accordance with the performance of my official government duties;
4. Agency point-of-contact must protect information security by properly identifying Agency employees eligible as users of EHRI;
5. Dispose of sensitive information contained in hardcopy or softcopy, as appropriate;
6. Ensure that sensitive information is accurate and relevant for the purpose which it is collected, provided, and used;
7. Protect my access codes from disclosure;
8. Report security incidents and vulnerabilities to the EHRI project office;
9. Comply with the provisions of copyrighted software by not infringing upon or compromising (copy, distribute, manipulate, etc.) software of this system.
10. Ensure all changes to eHR System components and data are done via approved configuration control procedures;
11. Use government equipment in accordance with my site's/Agency's policies and procedures;

I understand that all conditions and obligations imposed upon me by these rules apply during the time I am granted access to this system regardless of location.

I understand that the EHRI project office reserves the right, to terminate or suspend my access and use of the eHR System, without notice, if there is a violation of these Rules of Behavior.