



PRIVACY IMPACT ASSESSMENT:
 Office of the Chief Financial Officer –
 Automated Time Attendance and Production Systems (ATAAPS)
 PIA Template Version 5 – August 2017

Affects Members Of the Public?	
--------------------------------------	--

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: https://www.directives.doe.gov/directives-documents/200-series/0206.1-BOrder/@_images/file

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

Date	August 19, 2023	
Departmental Element & Site	Office of the Chief Financial Officer, Headquarters	
Name of Information System or IT Project	Automated Time Attendance and Production Systems (ATAAPS)	
Exhibit Project UID	019-000000121	
New PIA <input type="checkbox"/> Update <input checked="" type="checkbox"/>	Last updated and approved March 21, 2018. Updates include update to interconnections, POCs, and records management responses.	
	Name, Title	Contact Information Phone, Email
System Owner	Logan Kwedar Office of Corporate Business Systems, CF-40 Germantown, U.S. Department of Energy	(301)-903-2145 Logan.Kwedar@hq.doe.gov



PRIVACY IMPACT ASSESSMENT:
 Office of the Chief Financial Officer –
 Automated Time Attendance and Production Systems (ATAAPS)
 PIA Template Version 5 – August 2017

MODULE I – PRIVACY NEEDS ASSESSMENT

Local Privacy Act Officer	Ana Manchester, ISSM Office of Corporate Business Systems, CF-40 Germantown, U.S. Department of Energy	(301)-903-9360 ana.manchester@hq.doe.gov
Cyber Security Expert reviewing this document (e.g. ISSM, CSSM, ISSO, etc.)	Ana Manchester, ISSM Office of Corporate Business Systems, CF-40 Germantown, U.S. Department of Energy	(301)-903-9360 ana.manchester@hq.doe.gov
Person Completing this Document	Gene Hughes Office of Corporate Business Systems, CF-40 Germantown, U.S. Department of Energy	(301)-903-4281 gene.hughes@hq.doe.gov
Purpose of Information System or IT Project	<p>The Defense Finance and Accounting Service (DFAS) developed, and is the owner of, the Automated Time Attendance and Production Systems (ATAAPS) software. ATAAPS provides easy web access to employee timecard information and a paperless method for reporting this data to the DOE payroll provider, Defense Civilian Pay System (DCPS). The DFAS ATAAPS PIA is available at https://www.dfas.mil/foia/privacyimpactassessments.html. The relevant SORN can be found at http://dpcl.d.defense.gov/Privacy/SORNsIndex/DOD-wide-SORN-Article-View/Article/570185/t7335a/.</p> <p>The ATAAPS provides an automated, single-source input for reporting and collecting Time and Attendance (T&A) and Labor and Production (L&P) data for the Department of Energy (DOE) federal employees. Each Federal employee is required to login to the ATAAPS website (which is only accessible via the ESS website) to provide daily time reporting information which is then provided to DFAS for payroll processing. Additionally, the ATAAPS site is also used for leave requests.</p> <p>This information is provided to payroll and accounting systems. WAS part of the outsourcing of DOE payroll function, time and attendance data collection has been migrated to a single system, ATAAPS. Information collected within ATAAPS is daily time worked by each employee. This time is associated with projects that are assigned to the employee. Upon completion of a pay period, the time is approved and provided to DFAS for processing of payroll.</p> <p>It should be noted that the payroll team at DOE has access to all the data contained in the ATAAPS database. 13 individuals in the DOE Payroll office have 'global' access to all ATAAPS data. 5 CF-40 developers also have the same level of access in the ATAAPS database, in support of the DOE Payroll office. Data is protected by encryption at rest. The supported encryption type is AES256. The ATAAPS database will accept checksum protocols up to SHA512.</p>	



PRIVACY IMPACT ASSESSMENT:
 Office of the Chief Financial Officer –
 Automated Time Attendance and Production Systems (ATAAPS)
 PIA Template Version 5 – August 2017

MODULE I – PRIVACY NEEDS ASSESSMENT

Type of Information Collected or Maintained by the System:	<input checked="" type="checkbox"/> SSN (Social Security number) <input type="checkbox"/> Medical & Health Information <input type="checkbox"/> Financial Information <input type="checkbox"/> Clearance Information <input type="checkbox"/> Biometric Information <input type="checkbox"/> Mother's Maiden Name <input type="checkbox"/> DoB (Date of Birth), Place of Birth <input type="checkbox"/> Employment Information <input type="checkbox"/> Criminal History <input checked="" type="checkbox"/> Name, Phone, Address <input type="checkbox"/> Other – Please Specify
---	---

Has there been any attempt to verify PII does not exist on the system? <i>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.</i>	N/A
---	-----

If "Yes," what method was used to verify the system did not contain PII? (e.g. system scan)	N/A
--	-----

Threshold Questions

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



PRIVACY IMPACT ASSESSMENT:
Office of the Chief Financial Officer –
Automated Time Attendance and Production Systems (ATAAPS)
PIA Template Version 5 – August 2017

MODULE I – PRIVACY NEEDS ASSESSMENT

3. Is the information about individual Members of the Public?	NO
4. Is the information about DOE or contractor employees?	YES <input checked="" type="checkbox"/> Federal Employees <input checked="" type="checkbox"/> Contractor Employees Yes, the system contains information about current and former DOE federal employees. It also contains information on contractors that are responsible for operating the system (i.e. timekeepers and application support staff)

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.

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



PRIVACY IMPACT ASSESSMENT:
 Office of the Chief Financial Officer –
 Automated Time Attendance and Production Systems (ATAAPS)
 PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS

AUTHORITY, IMPACT & NOTICE

<p>1. AUTHORITY</p> <p>What specific authorities authorize this system or project, and the associated collection, use, and/or retention of personal information?</p>	<p>Department of Energy Authorization Act, Title 42, United States Code (U.S.C), Section 7101 et. seq.</p> <p>There are no other additional sources of authority for this system.</p>
<p>2. CONSENT</p> <p>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)?</p>	<p>DOE employees are required to provide personally identifiable information (PII) to be employed by DOE. The PII contained in ATAAPS system allows individuals to enter time and attendance information, and for this information to be certified. This information is used to pay employee wages, and to document leave and retirement benefits.</p> <p>Contractor Employees: Contractors that are responsible for operating the system (i.e. timekeepers and application support staff) are required to provide PII to be employed by DOE. The PII contained in the ATAAPS system allows individuals to enter time and attendance information, and for this information to be certified.</p>
<p>3. CONTRACTS</p> <p>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?</p>	<p>DOD contractors were involved in the design and development of the system. DOE contractors are involved with the further development and maintenance of the system. Contractor roles include both system administration and information administration and processing. Personal information may be disclosed to these contractors and their officers and employees in performance of their contracts. The 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.</p> <p>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.</p>



PRIVACY IMPACT ASSESSMENT:
 Office of the Chief Financial Officer –
 Automated Time Attendance and Production Systems (ATAAPS)
 PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS

<p>4. IMPACT ANALYSIS:</p> <p>How does this project or information system impact privacy?</p>	<p>DOE has assessed ATAAPS as a moderate-risk system according to the criteria set forth in the Federal Information Processing Standard 199 established by the National Institute of Standards and Technology (NIST). The risk rating is used to determine the effect to the agency should the system’s confidentiality, integrity or availability be compromised.</p> <p>The unauthorized disclosure of information is expected to have an adverse effect on organizational operations, organizational assets, or individuals. Security controls have been implemented and processes in place to ensure that controls are operating effectively to mitigate the risk of ATAAPS from being compromised. These include role-based access, further restricting to only the data authorized, including the display of a full 9-digit SSN.</p>
<p>5. SORNs</p> <p>How will the data be retrieved? Can PII be retrieved by an identifier (e.g. name, unique number or symbol)?</p> <p>If yes, explain, and list the identifiers that will be used to retrieve information on the individual.</p>	<p>Data is only retrievable by name or SSN by those users with elevated access, payroll administrators, certifiers, and timekeepers.</p>
<p>6. SORNs</p> <p>Has a Privacy Act System of Records Notice (SORN) been published in the <i>Federal Register</i>?</p> <p>If "Yes," provide name of SORN and location in the <i>Federal Register</i>.</p>	<p>The system operates in accordance with the following DOE Systems of Records (SORs):</p> <ul style="list-style-type: none"> • DOE-13 Payroll and Leave Records
<p>7. SORNs</p> <p>If the information system is being modified, will the SORN(s) require amendment or revision?</p>	<p>No</p>

DATA SOURCES



PRIVACY IMPACT ASSESSMENT:
 Office of the Chief Financial Officer –
 Automated Time Attendance and Production Systems (ATAAPS)
 PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS

8. What are the sources of information about individuals in the information system or project?	Information is obtained from the individual to whom it pertains. Information in the system is input to the system by employees, timekeepers, and certifying officials.
9. Will the information system derive new or meta data about an individual from the information collected?	No
10. Are the data elements described in detail and documented?	Yes. Data elements are described in detail and documented in the ATAAPS Interface Specification and ATAAPS Database Layout.
DATA USE	
11. How will the PII be used?	<p>Time and attendance (T&A) and labor and production (L&P) data is provided to payroll and accounting systems. As part of the outsourcing of the DOE payroll function, time and attendance data collection has been migrated to a single system, ATAAPS.</p> <p>PII is used to accurately capture the employee's Time and Attendance. DFAS uses this information to accurately pay employees.</p>
12. If the system derives meta data, how will the new or meta data be used? Will the new or meta data be part of an individual's record?	N/A
13. With what other agencies or entities will an individual's information be shared?	The system provides time and attendance data to the Defense Civilian Pay System (DCPS) for the purposes of completing the payroll process.

Reports



PRIVACY IMPACT ASSESSMENT:
 Office of the Chief Financial Officer –
 Automated Time Attendance and Production Systems (ATAAPS)
 PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS

14. What kinds of reports are produced about individuals or contain an individual's data?	<p>The following reports may be produced on individuals:</p> <ul style="list-style-type: none"> Employee information (name, team, tour of duty) Uncertified employees Employees with Missing time Team/Roster Listing of timekeepers and certifiers Retroactive Data Uncertified Employees
15. What will be the use of these reports?	<p>Timekeepers, Certifiers, and other select individuals are granted access to these reports in order to ensure the accuracy of the time and attendance data. Reports are not available to the general public.</p>
16. Who will have access to these reports?	<p>Timekeepers, Certifiers, and other employees or contractors whose job functions require access to this information.</p>
Monitoring	
17. Will this information system provide the capability to identify, locate, and monitor individuals?	<p>Yes, for the limited use of security purposes, system audit logs are maintained to record system activity and user activity.</p>
18. What kinds of information are collected as a function of the monitoring of individuals?	<p>For security purposes, system audit logs are maintained to record system activity and user activity. This activity includes invalid login attempts and access and modification to data in the system.</p> <p>The Operating System/Server logs are maintained by the EITS environment contains IP information; this is separate from the application/database logging specific to ATAAPS.</p>
19. Are controls implemented to prevent unauthorized monitoring of individuals?	<p>ATAAPS established policies and procedures for controlling and monitoring access to the system. These are defined in the Security Plan and are compliant with privacy controls in NIST 800-53.</p>
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.	<p>The accuracy of the data in the system is verified at the close of every pay period (every two weeks) by authorized DOE system administration staff.</p>



PRIVACY IMPACT ASSESSMENT:
 Office of the Chief Financial Officer –
 Automated Time Attendance and Production Systems (ATAAPS)
 PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS

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 system is only maintained at DOE HQ in the DOE Azure GovCloud, though it may be accessed by authorized users from any internal DOENET access point.
Records Management	
22. Identify the record(s).	Records relating to employee compensation such as time and attendance records.
23. Identify the specific disposition authority(ies) that correspond to the record(s) noted in no. 22.	The records in ATAAPS have been scheduled electronically but would fall under: Employee Compensation and Benefits Records: GRS 2.4, item 30
24. Records Contact	Sean Kennedy, Records Manager Sean.Kennedy@hq.doe.gov 240-315-6772

ACCESS, SAFEGUARDS & SECURITY

25. What controls are in place to protect the data from unauthorized access, modification or use?	<p>Through the Office of the Chief Financial Officer’s (CF) Assessment and Accreditation program and annual assessment processes, all baseline security controls have been implemented and tested as appropriate to its Federal Information Processing (FIPS) categorization in accordance with the Senior DOE Management Program Cyber Security Plan (PCSP) and DOE Directives. The system was certified and accredited with full Authority To Operate and found to have mitigated risk to an acceptable level.</p> <p>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 non-disclosure agreements, role-based access so individuals only have access to appropriate personal information, and use of system audit logs to monitor access and user activity in the system.</p>
--	--



PRIVACY IMPACT ASSESSMENT:
 Office of the Chief Financial Officer –
 Automated Time Attendance and Production Systems (ATAAPS)
 PIA Template Version 5 – August 2017

MODULE II – PII SYSTEMS & PROJECTS

26. Who will have access to PII data?	DOE Federal and contractor personnel with authorized access to DOE networks will have access to their individual data in the system. Access to PII of others in the system will be strictly controlled based on job responsibility and function. System Administrators and help desk staff will have access to all data in the system. Payroll personnel have access to data for those individuals they are responsible to administer.
27. How is access to PII data determined?	System Access control lists are established to allow users access to only view and change their own data in the system. Payroll personnel have access to data for those individuals they are responsible to administer. Program users may access only the data for their organizations.
28. Do other information systems share data or have access to the data in the system? If yes, explain.	Yes, the system provides time and attendance data to the Defense Civilian Pay System (DCPS) for purposes of completing the payroll process.
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. Data Interface Agreements (DIAs) are in place for both system interconnections: Internal: Employee Self Service (ESS), iManage Data Warehouse (IDW), MAXMAO (WAPA), Direct Payroll Processing (DPP) External: Defense Civilian Pay System (DCPS)
30. Who is responsible for ensuring the authorized use of personal information?	The System Owner, the Chief Financial Officer, and the Director for Corporate Business Systems.

END OF MODULE II



PRIVACY IMPACT ASSESSMENT:
Office of the Chief Financial Officer –
Automated Time Attendance and Production Systems (ATAAPS)
PIA Template Version 5 – August 2017

SIGNATURE PAGE		
	Signature	Date
System Owner	<p>Logan Kwedar</p> <hr/> <p>(Print Name)</p> <hr/> <p>(Signature)</p>	<hr/>
Local Privacy Act Officer	<p>Ana Manchester</p> <hr/> <p>(Print Name)</p> <hr/> <p>(Signature)</p>	<hr/>
Ken Hunt Chief Privacy Officer	<hr/> <p>(Print Name)</p> <hr/> <p>(Signature)</p>	<hr/>