

Section I

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

Name of Project: Positive Pay and Check Reconciliation

Bureau: Department of Energy

Project's Unique ID: POSPAY

Date: August 6, 2008

A. CONTACT INFORMATION:

1) Who is the person completing this document?

Name: George Gee III

Title: Senior Applications Software Engineer

Organization: Software Control International

Address: P.O Box 4699, Building 1007, MS 7022

Oak Ridge, TN. 37831-7022

2) Who is the system owner?

Name: William Boucher

Title: Chief Financial Officer

Organization: Bechtel Jacobs Company LLC

Address: P.O Box 4699, Building 1007, MS 7052

Oak Ridge, TN. 37831-7052

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

Name: David D. Newton

Title: Applications Manager

Organization: Bechtel Jacobs Company LLC

Address: P.O Box 4699, Building 1007, MS 7022

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

Name: David Rose

Title: Cyber Security & Compliance Manager

Organization: Bechtel Jacobs Company LLC

Address: P.O Box 4699, Building 1007, MS 7022

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5) Who is the Privacy Act Officer who reviewed this document?

Name: Amy Rothrock

Title: Privacy Act Officer

Organization: Department of Energy/Oak Ridge Operations

Address: 200 Administration Rd.

Oak Ridge, TN. 37830

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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? Yes

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

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

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

The POSPAY application transfers files to and from SunTrust using WEB based SunTrust Online File Transfer. Payroll check, check reconciliation, and ACH files are generated in the CYBORG System and copied to the BJCHRNT and BJCHRPR servers. On the BJCHRPR server there are several on-line applications that give user options for managing check reconciliation files. Generate positive pay file (paper checks). Positive pay file is transmitted to the bank on a daily basis. User initializes the input from previous day prior to new input. This application is also ENDSHEET checks. Check-recon job runs once a month with the file from the bank for cleared checks.

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

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C. DATA in the SYSTEM:

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

Contractor and former contractor (public) receiving payroll checks

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

a. Is the source of the information from the individual or is it taken from another source?

Some data comes directly from individuals and some information comes from other applications within the boundary.

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?

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None

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

Monthly bank (SunTrust) reconciliation file.

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

This application collects (from employees) the following:

Name and Bank Account Number provided to CFO personnel for the Cyborg application. For direct deposit accounts a voided check is provided. Payroll runs in Cyborg generate check file for POSPAY and ACH file for direct deposit to SunTrust. Check file for POSPAY includes Name and Check Number. ACH file includes Name and Bank Account Number. Reconciliation file from SunTrust contains check number, gross and date check cleared.

3) Accuracy, Timeliness, and Reliability

a. How will data collected from sources other than DOE records be verified for accuracy?

BJC functional CFO personnel have processes in place to ensure accuracy of the data.

b. How will data be checked for completeness?

BJC applications require a complete set of data for processing purposes. Procedures and processes are in place to ensure the completeness of the data.

c. Is the data current? What steps or procedures are taken to ensure the data is current and not out-of-date?

BJC CFO personnel have processes and procedures in place to ensure the currency of the data. It is the responsibility of the employee to provide the correct bank account number.

d. Are the data elements described in detail and documented?

No.

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

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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? N/A

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

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.

Data is retrieved online and in batch reports. No personal identifier retrieves the data..

9) What kinds of reports can be produced on individuals?

Numerous business-related reports are available with information about individuals (employees and subcontractors).

What will be the use of these reports?

Reports are used for the business of BJC payroll check reconciliation by CFO personnel. Major Report:

PAY6120B - Outstanding Checks Report. List with employee department, employee number, employee name, check date, payroll period-end date, amount and check number.

Who will have access to them?

Reports are available to functional CFO staff as needed to perform their job.

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)?

Users may decline direct deposit and be paid by paper check.

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 applications do not cross Accreditation Boundaries.
- 2) **What are the retention periods of data in the system?**
Check specific information retained for life of BJC contract.
- 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?**
Disposition of the data for the BJC D&D Contract will occur at the end of the contract. At that time, data will be turned over to DOE or designated Contractor. Data will be archived or deleted at the end of the contract based on DOE guidelines for retaining records.
- 4) **Is the system using technologies in ways that 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?** 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?**
No monitoring is possible outside of normal applications usage.
- 9) **Under which Privacy Act system of records notice does the system operate?** N/A
- 10) **If the system is being modified, will the Privacy Act system of records notice require amendment or revision?** N/A

F. Access to Data:

- 1) **Who will have access to the data in the system?**
Access to data is controlled by the applications administrators for each application. Access limited to CFO functional personnel assigned to check reconciliation.
- 2) **How is access to the data by a user determined?**

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Access to data is approved by the application owners and granted by the application administrator on a need-to-know basis.

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

User access is controlled by the system administrators by granting roles to individuals. Roles are restricted to see only the functionality/data required by that role.

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

Application owners enforce separation of responsibilities to only allow access to functionality/data necessary to perform job functions.

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? Yes, DOE Privacy Act clauses are included.

6) Do other systems share data or have access to the data in the system? If yes, explain. No.

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

Any applications that process Privacy Act data are classified as "Protected" by the BJC Cyber Security Manager. Those applications then document and test the controls necessary to protect the interfaces/data.

8) Will other agencies share data or have access to the data in this system? Yes, Sun Trust.

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

Data processed by SunTrust in accordance with banking laws.

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

Proper use of the data is the responsibility of the receiving agency.

SIGNATURE PAGE

	Signature	Date
PIA Approval Signatures	Original Copy Signed and On File with the DOE Privacy Office	