

Date Signed: 11/1/2022

Acronyms

ATO - Authorization to Operate
 CAC - Common Access Card
 FISMA - Federal Information Security Management Act
 ISA - Information Sharing Agreement
 HHS - Department of Health and Human Services
 MOU - Memorandum of Understanding
 NARA - National Archives and Record Administration
 OMB - Office of Management and Budget
 PIA - Privacy Impact Assessment
 PII - Personally Identifiable Information
 POC - Point of Contact
 PTA - Privacy Threshold Assessment
 SORN - System of Records Notice
 SSN - Social Security Number
 URL - Uniform Resource Locator

General Information

Status:	Approved	PIA ID:	1506677
PIA Name:	OS - AFPS - QTR4 - 2022 - OS1243838	Title:	Accounting for Pay System
OpDiv:	OS		

PTA

PTA - 2:	Indicate the following reason(s) for this PTA. Choose from the following options.	PIA Validation (PIA Refresh)
PTA - 2A:	Describe in further detail any changes to the system that have occurred since the last PIA.	No changes have occurred since the approval of the last PIA.
PTA - 3:	Is the data contained in the system owned by the agency or contractor?	Agency
PTA - 4:	Please give a brief overview and purpose of the system by describing what the functions of the system are and how the system carries out those functions.	The Accounting for Pay System (AFPS) is a major application that provides a systematic interface of the payroll accounting information

necessary to account for disbursements, expenditures, obligations, and accruals for personnel costs. This interface results in the production of accounting transactions and expenditure control reports to accomplish accounting requirements and payroll reconciliation for civilian and commission corps employees. AFPS is an intermediary system and receives files from the Defense Finance and Accounting Service (DFAS) and Lyceum. AFPS updates the Department's financial systems: Unified Financial Management System (UFMS), National Institutes of Health (NIH) Business System (NBS) and Healthcare Integrated General Ledger Accounting System (HIGLAS) with payroll accounting transactions and offers such features as Labor Distribution, CAN (Common Accounting Number) corrections, CAN Adjustments, Automated (SF-224) Report preparation, Pay and Benefits history file.

The functions for AFPS are: Service Delivery Support and Government Resource Management Updates.

Service Delivery Support: AFPS provides a systematic interface of the payroll accounting information necessary to account for disbursements, expenditures, obligations, and accruals for personnel costs. AFPS supports its customers in the production of accounting transactions and expenditure control reports to accomplish accounting requirements and payroll reconciliation.

Government Resource Management Updates: Provides updates to the Department's financial systems: Unified Financial Management System (UFMS), NIH Business System (NBS) and Healthcare Integrated General Ledger Accounting System (HIGLAS) with payroll accounting transactions and offers such features as Labor Distribution, CAN (Common Accounting Number) corrections, CAN Adjustments, Automated SF-224 Report preparation, Pay and Benefits history file.

PTA - 5:

List and/or describe all the types of information that are collected (into), maintained, and/or shared in the system regardless of whether that information is PII and how long that information is stored.

The Accounting For Pay System (AFPS) information currently collected, maintained and disseminated includes HHS employee level

payroll related information.

Administrative Access: HHS Credentials are used to access the system. This information follows the 030 General Records Schedule (GRS) for System Access Records DAA-GRS-2013-0006-0003. Disposition time is Temporary (destroy when business use ceases).

HHS Employee Level Payroll Information: The data includes full name, Social Security number (SSN), financial account information, work e-mail addresses and user ID names. This information follows DAA-GRS-2015-0001-0004. Disposition schedule is (Agency destroys when 6 years old or is no longer needed.)

PTA - 5A:

Are user credentials used to access the system?

Yes

PTA - 6:

Describe why all types of information is collected (into), maintained, and/or shared with another system. This description should specify what information is collected about each category of individual.

The information types of the information collected and maintained within AFPS include: Income Information, Personal Identity and Authentication Information, and Compensation Management. This information is Personal Identifiable Information (PII).

C.2.8.8 Income Information: Includes all the wages, self-employment earnings, savings data and other financial resources information that is needed to help determine the amount of Retirement, Survivor, or Disability benefits that individuals may be entitled to receive or not receive from the Supplementary Security Income or Retirement, Survivors, Disability Insurance (RSDI) Title II Programs.

C.2.8.9 Personal Identity and Authentication Information: Includes that information necessary to ensure that all persons who are potentially entitled to receive any federal benefit are enumerated and identified so that Federal agencies can have reasonable assurance that they are paying or communicating with the right individuals.

C.3.3.4 Compensation Management: Designs, develops, and implements compensation programs that attract, retain, and fairly compensate agency employees.

The information within AFPS is provided by the Department of Health and Human Services (HHS) payroll systems (Civilian and Commissioned Corps) as well as Defense Finance and Accounting Service (DFAS) and Lyceum. The information is used to support payroll accounting for Civilian and Commissioned Corps employees. The information captured is used for regular report submissions to the Department's financial systems: Unified Financial Management System (UFMS), NIH Business System (NBS) and Healthcare Integrated General Ledger Accounting System (HIGLAS).

PTA - 7:	Does the system collect, maintain, use or share PII?	Yes
PTA - 7A:	Does this include Sensitive PII as defined by HHS?	Yes
PTA - 8:	Does the system include a website or online application?	Yes
PTA - 8A:	Are any of the URLs listed accessible by the general public (to include publicly accessible log in and internet websites/online applications)?	No
PTA - 9:	Describe the purpose of the website, who has access to it, and how users access the web site (via public URL, log in, etc.). Please address each element in your response.	<p>The Accounting for Pay System (AFPS) is a web-based application. The online application is only accessible by HHS Intranet users. Users access the application to perform payroll accounting transactions such as: Labor Distribution, CAN (Common Accounting Number) corrections, CAN Adjustments, Automated (SF-224) Report preparation, Pay and Benefits history file.</p> <p>The Payroll Accounting process is organized into the following sub-processes:</p> <p>Civilian Payroll Accounting: Reconciliation of Control Reports Within AFPS, Payroll Charges to Suspense Account, Payroll Accrual, Leave Accrual, CAN Sync Process (AFPS receiving files from the agencies and loading into AFPS-batch process.), CAN Correction Process, Quarters & Sustenance, Payment of Withholdings</p> <p>Commissioned Corps Payroll Accounting: Payroll Accrual, Leave Accrual, Payment of Withholdings</p> <p>Once payroll has been computed and disbursed, the Payroll Accounting process details the steps taken to reconcile and convert raw payroll data into the necessary file formats needed for producing the Statement of Transactions (SF-224) Report and posting.</p> <p>After the required payroll information is processed, the users can perform various transactions like Post Labor Distribution, Redistribution, CAN corrections, CAN adjustments, etc. via a web front end. The AFPS web front end is composed of a series of Oracle forms and reports files.</p>
PTA - 10:	Does the website have a posted privacy notice?	Yes
PTA - 11:	Does the website contain links to non-federal government websites external to HHS?	No
PTA - 12:	Does the website use web measurement and customization technology?	No
PTA - 13:	Does the website have any information or pages directed at children under the age of thirteen?	No
PTA - 14:	Does the system have a mobile application?	No
PTA - 20:	Is there a third-party website or application (TPWA) associated with the system?	No
PTA - 21:	Does this system use artificial intelligence (AI) tools or technologies?	No

PIA

PIA - 1:	Indicate the type(s) of personally identifiable information (PII) that the system will collect, maintain, or share.	<p>Taxpayer ID</p> <p>User Credentials</p> <p>Truncated SSN</p> <p>Email Address</p> <p>Date of Birth</p> <p>Name</p> <p>Military Status</p> <p>Employment Status</p> <p>Financial Account Info</p>
PIA - 2:	Indicate the categories of individuals about whom PII is collected, maintained or shared.	<p>Employees/ HHS Direct Contractors</p> <p>Vendors/Suppliers/Third-Party Contractors (Contractors other than HHS Direct Contractors)</p>
PIA - 3:	Indicate the approximate number of individuals whose PII is maintained in the system.	<p>Above 2000</p>
PIA - 4:	For what primary purpose is the PII used?	<p>The Accounting for Pay System (AFPS) is periodically reviewed for compliance with current regulations and standards. Personal Identifiable Information (PII) in AFPS is processed to permit necessary payroll accounting practices. The purpose of processing the information is to create summary and detail accounting and cost transactions that are posted to the Department financial general ledgers for financial reporting purposes. OpDivs and StaffDivs use AFPS financial data for budgetary and programmatic reporting requirements. The information is shared with OpDivs and StaffDivs accounting, budget and administrative offices to facilitate payroll functions.</p>
PIA - 5:	Describe any secondary uses for which the PII will be used (e.g. testing, training or research).	<p>No secondary uses of PII.</p>
PIA - 6:	Describe the function of the SSN and/or Taxpayer ID.	<p>The function of collected Social Security Number (SSN)/Taxpayer ID is to ensure that all persons who are potentially entitled to receive any federal benefit are enumerated and identified so that Federal agencies can have reasonable assurance that they are paying or communicating with the right individuals. It is also collected to help determine the amount of Retirement, Survivor, or Disability benefits that individuals may be entitled to receive or not receive from the Supplementary Security Income or RSDI Title II Programs.</p>
PIA - 6A:	Cite the legal authority to use the SSN.	<p>DHHS 09-90-0006 PHS Comm. Corp Payroll</p>

Accounting For Pay System (AFPS) as a subsystem to the HHS financial systems such as the Unified Financial Management System (UFMS), National Institutes of Health (NIH) NIH Business System (NBS) the Centers for Medicare and Medicaid Oracle application titled Higlass (not an acronym) and operates under the umbrella of their authority to ensure compliance with Federal Managers Financial Integrity Act, GAO Standards for Internal Controls in Federal Government (Green Book), and OMB Circular A123 - Appendix A-D. The Budget and Accounting Act of 1950 (Pub. L. 81-784; E.O. 11491; Title 5 U.S. Code, Chapter 55 Pay Administration Title 5 U.S. Code, Chapter 63 Leave; O. 11491 of 5 U.S.C. Chapter 71; The Public Health Service Act (42 United States Code (U.S.C.) 202 217, 218a, 224, 228, 233, and other pertinent sections); portions of Title 10, U.S.C., related to the uniformed services; portions of the Title 37, U.S.C., related to pay and allowance for members of the uniformed services; portions of Title 38, U.S.C., related to benefits administered by the Department of Veterans Affairs; sections of 50 U.S.C. App., related to the selective service obligations and the Soldiers' and Sailors' Civil Relief Act; Executive Order (E.O.) 9397, 'Numbering System for Federal Accounts Relating to Individual Persons'; E.O. 10450, 'Security Requirements for Government Employment'; and E.O. 11140, which delegates the authority to administer the PHS Commissioned Corps from the President to the Secretary, HHS.

PIA - 7:

Identify legal authorities governing information use and disclosure specific to the system and program.

Accounting For Pay System (AFPS) as a subsystem to the HHS financial systems such as

the Unified Financial Management System (UFMS), National Institutes of Health (NIH) NIH Business System (NBS) the Centers for Medicare and Medicaid Oracle application titled Healthcare Integrated General Ledger Accounting System (HIGLAS) and operates under the umbrella of their authority to ensure compliance with Federal Managers Financial Integrity Act, GAO Standards for Internal Controls in Federal Government (Green Book), and OMB Circular A123 - Appendix A-D.

The Budget and Accounting Act of 1950 (Pub. L. 81-784; E.O. 11491; Title 5 U.S. Code, Chapter 55 Pay Administration Title 5 U.S. Code, Chapter 63 Leave; O. 11491 of 5 U.S.C. Chapter 71; The Public Health Service Act (42 United States Code (U.S.C.) 202 217, 218a, 224, 228, 233, and other pertinent sections); portions of Title 10, U.S.C., related to the uniformed services; portions of the Title 37, U.S.C., related to pay and allowance for members of the uniformed services; portions of Title 38, U.S.C., related to benefits administered by the Department of Veterans Affairs; sections of 50 U.S.C. App., related to the selective service obligations and the Soldiers' and Sailors' Civil Relief Act; Executive Order (E.O.) 9397, 'Numbering System for Federal Accounts Relating to Individual Persons'; E.O. 10450, 'Security Requirements for Government Employment'; and E.O. 11140, which delegates the authority to administer the PHS Commissioned Corps from the President to the Secretary, HHS.

PIA - 8: Are records in the system retrieved by one or more PII data elements?

Yes

PIA - 8A: Please specify which PII data elements are used to retrieve records.

Direct PII: Name, Date of Birth, Email, SSN

PIA - 8B: Provide the number, title, and URL of the Privacy Act System of Records Notice (SORN) that is being used to cover the system or indicate whether a new or revised SORN is in development.

DHHS 09-90-0006 PHS Comm. Corp Payroll Recs
 DHHS 09-90-0024 Financial Transactions
 DHHS 09-40-0010 Pay, Leave, Attend. Records

PIA - 9: Identify the sources of PII in the system.

Directly from an individual about whom the information pertains

In-person

Hard Copy Mail/Fax

Phone

Email

Online

Other

Government Sources

Within the OPDIV

Other HHS OPDIV

Other Federal Entities

PIA - 10: Is there an Office of Management and Budget (OMB) information

No

	collection approval number?	
PIA - 10C:	Explain why an OMB information collection approval number is not required.	No information in the Accounting For Pay System (AFPS) is collected from the public.
PIA - 11:	Is the PII shared with other organizations outside the system's Operating Division?	Yes
PIA - 11A:	Identify with whom the PII is shared or disclosed.	Other Federal Agency/Agencies Within HHS
PIA - 11B:	Please provide the purpose(s) for the disclosures described in PIA - 11A.	OpDivs and StaffDivs use Accounting For Pay System (AFPS) financial data for budgetary and programmatic reporting requirements. The information is shared with OpDivs and StaffDivs accounting, budget and administrative offices to facilitate payroll functions.
PIA - 11C:	List any agreements in place that authorizes the information sharing or disclosure (e.g., Computer Matching Agreement (CMA), Memorandum of Understanding (MOU), or Information Sharing Agreement (ISA)).	Memorandum of Understanding with the HHS Enterprise Human Capital Management System (EHCM) February 2019.
PIA - 11D:	Describe process and procedures for logging/tracking/accounting for the sharing and/or disclosing of PII. If no process or procedures are in place, please explain why not.	AFPS utilizes internal logging of activities. The Program Support Center (PSC) utilizes Dropbox Access Request forms for PII sharing.
PIA - 12:	Is the submission of PII by individuals voluntary or mandatory?	Voluntary
PIA - 13:	Describe the method for individuals to opt-out of the collection or use of their PII. If there is no option to object to the information collection, provide a reason	While individuals may not be aware of the specific, complex business interactions, the use of Personal Identifiable Information (PII) is implicit in the employment agreement between HHS and its employees. The HHS Personnel and Pay office has an application Integrated Time and Attendance System (ITAS) which maintains the original PII employee data, updates the Defense Finance Accounting System (DFAS) to process bi-weekly payroll schedules to the Department of Treasury. ITAS maintains a separate PIA. The payroll transaction records are then transmitted from Defense Finance Accounting System (DFAS) to Accounting For Pay System (AFPS) for recording and posting the payroll accounting transactions into the HHS financial systems of records.
PIA - 14:	Describe the process to notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of original collection). Alternatively, describe why they cannot be notified or have their consent obtained.	Standard employee consent for collecting PII is initially obtained during the human resources onboarding process and is in effect for the entire employment period. To date there have been no major changes to AFPS that have required updated consent. If major changes were to occur, employees would be notified via email or postal mail relating to PII data collected with explanations of the system revision requirements. If updated employee consent was necessary. The employee would be asked to accept the change from either reply emails or signed hard copy forms compiled at the OpDiv level.
PIA - 15:	Describe the process in place to resolve an individual's concerns when they believe their PII has been inappropriately obtained,	Employees can notify the HHS Human Resources Office or their designated Ethics

	used, or disclosed, or that the PII is inaccurate. If no process exists, explain why not.	Officer, who would route concerns appropriately.
PIA - 16:	Describe the process in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy and relevancy. Please address each element in your response. If no processes are in place, explain why not.	Accounting for Pay System (AFPS) users classified with an 'Agency User' ID are responsible for periodic review of the HHS employee PII data to ensure the integrity, availability, accuracy and relevancy. This review can be accomplished either online or through requested reports.
PIA - 17:	Identify who will have access to the PII in the system.	Users Administrators Developers Contractors
PIA - 17A:	Select the type of contractor.	HHS/OpDiv Direct Contractors
PIA - 17B:	Do contracts include Federal Acquisition Regulation (FAR) and other appropriate clauses ensuring adherence to privacy provisions and practices?	Yes
PIA - 18:	Provide the reason why each of the groups identified in PIA - 17 needs access to PII.	Users: This group includes HHS employees and HHS/OpDiv Direct contractors. Access to PII is required to facilitate the generation and processing of payroll disbursements, project expenditures, obligations and accruals for personnel costs. Accounting transactions and expenditure control reports to accomplish accounting requirements and payroll reconciliation for civilian and commission corps employees. Administrators: This group requires access to manage user accounts. Developers: This group requires access as needed for application updates and maintenance.
PIA - 19:	Describe the administrative procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.	All users must be cleared through management approval of activation forms and require bi-annual recertification from supervisors.
PIA - 20:	Describe the technical methods in place to allow those with access to PII to only access the minimum amount of information necessary to perform their job.	Accounting For Pay System (AFPS) has 5 User Groups in which users can be classified. System Manager, Application Programmer, Maintenance User, Application Staff and Agency User. Each role has access restrictions to limit Personally Identifiable Information (PII) data elements to those which each user role has a need to know.
PIA - 21:	Identify the general security and privacy awareness training provided to system users (system owners, managers, operators, contractors and/or program managers) using the system to make them aware of their responsibilities for protecting the information being collected and maintained.	All AFPS employees are required to take and complete initial security awareness and role-based training and subsequent annual trainings.
PIA - 22:	Describe the training system users receive (above and beyond general security and privacy awareness training).	Initial security awareness and role-based training and subsequent trainings are stored within the Learning Management System (LMS).
PIA - 23:	Describe the process and guidelines in place with regard to the	System records are retained in accordance with

retention and destruction of PII. Cite specific National Archives and Records Administration (NARA) records retention schedule(s) and include the retention period(s).

National Archives Record Administration (NARA) Records Schedule. Chapter 03 (October 19th, 2021)

File 310 - Pay and Leave Administration
Files: Documents created to provide assistance in interpreting and implementing pay administration programs. Included are pay plans, pay fixing rules, authorizations, reconsiderations, and related records.

Disposition Authority: Temporary, N01-0064-1987-0001, Item 310. Cut off annually, hold 1 year, and retire to records center. Destroy when 5 years old. (N1-64-87-1)

PIA - 24:

Describe how the PII will be secured in the system using administrative, technical, and physical controls. Please address each element in your response.

Technical and Physical controls are in place to ensure the security of the information. These include an up-to-date System Security Plan; Contingency Technical and Physical controls are in place to ensure the security of the information. These include an up-to-date System Security Plan, Contingency Plan, regular offsite backup of the data, and yearly security awareness training for all personnel. Also, the system is part of the yearly SAS-70 (Statement on Auditing Standards Number 70) audit, which tests the adequacy and effectiveness of the operating controls. Specific protection for PII includes: Using two-factor authentication, Active User ID and Password; role-based access; encrypting data when stored electronically and at rest; maintaining data at National Institutes of Health (NIH) Center for Information Technology (CIT) secured facility building; requiring access cards for physical entry to locked doors and the computer room with cameras that record 24 hours a day; implementation of a temperature controlled data center; recording updates in audit logs for changes made directly to the database and servers that identifies the date, time, individual user ID, and changes made that are made; and maintaining AFPS documents in a locked file cabinet, which is only accessible only to authorized personnel.