

U.S. Nuclear Regulatory Commission Privacy Impact Assessment

Date: 01/10/2005

A. GENERAL SYSTEM/APPLICATION(system) INFORMATION

(See definitions at end of document)

1. Person completing this form:

| Name | Title | Phone # | E-mail | Office |
|--------------|------------------------|----------|--------------|--------|
| Wilson, John | Deputy Project Manager | 415-5932 | jjw1@nrc.gov | OIS |

2. System owner:

| Name | Title | Phone # | E-mail | Office |
|-----------------------|-----------------|----------|--------------|--------|
| Taylor, Chutima (Dee) | Project Manager | 415-6034 | cdt1@nrc.gov | OCFO |

3. What is the name of this system?

Budget Formulation Application

4. Briefly describe the purpose of this system (support of what agency function)

The objective of this project is to improve and simplify the budget formulation process. Specifically, the project is performing a business requirements analysis of the current process to determine how best to 1) streamline the budget formulation process and 2) automate those processes where automation will make the process more efficient and effective. The final outcome of this effort will assist the agency, specifically all of the program, support, and regional offices and the OCFO staffs that are involved in the budget formulation effort, to

- reduce the administrative burden (e.g., eliminate excessive staff time and the duplication of data entry of budget information into multiple systems),
- improve quality, timeliness, and confidence in the budget outcome,
- increase credibility by producing accurate and concise budget data,

- produce “what if” scenarios,
- reduce large amount of paper used to produce the budget control reports, and
- enable the end-users to be able to access the budget information electronically.

B. PRIVACY ACT APPLICABILITY

1. Does this system contain any personal information (name, social security number, date of birth, home address, etc) about individuals?

No

2. If yes, will the data be retrieved by an individual's name or other personal identifier (i.e. social security number, badge number, etc.)?

No

C. INFORMATION COLLECTION APPLICABILITY

1. Will the personal data be collected from or maintained on persons who are not Federal Employees?

No

2. Will the data be collected from Federal contractors?

No

3. If the answer is yes to either question 1 or 2, will the data be collected from ten (10) or more persons during a calendar year?

No

4. If the answer is yes to question 3, Is the information to be collected covered by an existing OMB clearance number.

D. RECORDS RETENTION AND DISPOSAL SCHEDULE APPLICABILITY

Does this system already have a NARA-approved records disposition schedule? (Reference NUREG-0910, “NRC Comprehensive Records Disposition Schedule” or contact your office Records Liaison Officer.)

No

If yes, what is the Records Schedule Number. _____

Complete Section E only if the answers to Section B, questions 1 and 2 are “Yes.”

E. SYSTEM DATA INFORMATION

1. Type of information maintained in the system. Described the information to be being maintained in the system (e.g. financial, medical, training, personnel, etc)? Give detailed description of the data.

N/A

2. Source of the data in this system.

- a. Is data being collected from the subject individual?

NA

- b. Is data on this individual being collected from other NRC files and databases for this system?

NA

If yes, identify the files and databases?

- c. Is data on this individual being collected from source(s) other than the subject individual and NRC records?

NA

If yes, what is the source(s) and what type(s) of data is being collected?

- d. How will data collected from source(s) other than the subject individual or NRC records be verified as current, accurate, and complete?

NA

3. Attributes of the Data

- a. Are the data elements described in detail and documented?

NA

If yes, what is the name of the document?

- b. Is the use of the data both relevant and necessary for the purpose for which the system is designed?

NA

- c. Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected?

NA

- (1) How will aggregated data be maintained, filed, utilized?

NA

- (2) How will aggregated data be validated for relevance and accuracy?

NA

4. If data is consolidated, what controls protect it from unauthorized access/use/modification?

NA

5. How will the data be retrieved from the system?

N/A

- a. Can it be retrieved by personal identifier? If yes, explain:

N/A

- b. Is a password or data description required? If yes, explain:

NA

6. Describe report(s) that can be produced from this system?

NA

- a. What are the reports used for?

- b. Who has access to these reports?

7. Records retention

- a. What are the record types contained in this system and the medium on which they reside?

NA

- b. What is the NARA authorized retention period for each records series in this system?

NA

- c. If unscheduled, what are your retention requirements for each records series in this system?

NA

- d. What are the procedures for disposing of the data at the end of the retention period? (specifically address: paper copy, magnetic or other forms of media)

NA

- e. How long will produced reports be maintained?

NA

- f. Where are the reports stored?

NA

- g. Where are the procedures documented?

NA

8. Capability to monitor individuals

- a. Will this system provide the capability to identify, locate, and monitor individuals?

NA

- b. What controls will be used to prevent unauthorized monitoring?

NA

9. Coverage Under Existing Privacy Act System of Records

- a. Under which Privacy Act system of records (SOR) notice does this system operate (link to list of SOR available on NRC Internal Home page)?

Provide number and name:

Privacy Act is not applicable.

- b. If the Privacy Act system of records is being modified, will the SOR notice require amendment or revision?

NA

10. Access to the Data

- a. Who will have access to the data in the system (users, managers, system administrators, developers, other)?

NA

- b. Are criteria, procedures, controls, and responsibilities regarding access documented?

NA

- c. Will users have access to all data in the system or will users' access be restricted? Explain.

NA

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

NA

- e. Do other systems share data or have access to data in this system?

NA

- f. Will other agencies share data or have access to data in this system (Federal, State, Local, other)?

NA

- g. Were Privacy Act clauses cited and other regulatory measures addressed in contracts with contractors having access to this system?

NA

DEFINITIONS

Personal Information:

Personal Information is information about an identifiable individual that may include but not be limited to:

- race, national or ethnic origin, religion, age, marital or family status

- education, medical, psychiatric, psychological, criminal, financial, or employment history
- any identification number, symbol, or other particular assigned to an individual
- name, address, telephone number, fingerprints, blood type, or DNA

Aggregation of Data:

Aggregation of data is the taking of various data elements and then turning them into a composite of all the data to form another type of data such as tables or data arrays, or collecting data into a single database.

Consolidation:

Consolidation means combining data from more than one source into one system, application, or process. Existing controls for the individual parts should remain or be strengthened to ensure no inappropriate access by unauthorized individuals. However, since individual pieces of data lose their identity, existing controls may actually be diminished - e.g: a summary census report may not point at the individual respondent but rather at a class of respondents, which makes it less personal.

PRIVACY IMPACT ASSESSMENT REVIEW/APPROVAL
(Only For Use of OIS Staff)

System Name: Budget Formulation Application

Submitting Office: Office of Chief Financial Officer (OCFO)

A. PRIVACY ACT APPLICABILITY REVIEW

☒ Privacy Act is not applicable.

☐ Privacy Act is applicable - currently covered under Privacy Act System of Records, NRC-
. No modification of the system notice is required.

☐ Privacy Act is applicable. It creates a new system of records. FOIA/PA Team will take the lead to prepare the system notice.

☐ Privacy Act is applicable - currently covered under System of Records, NRC _____.
Modification to the system notice is required. FOIA/PA Team will take the lead to prepare to prepare the following changes:

Comments:

John Wilson confirmed that no identifying information about individuals is collected by or maintained in the Budget Formulation Application. This will be a tool used by the offices in the preparation and submission of their budget.

| Reviewer's Name | Title | Date |
|--------------------|-------------------------|------------------|
| Sandra S. Northern | Privacy Program Officer | October 19, 2005 |

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

☒ No OMB information collection clearance is needed.

☐ OMB information collection clearance is needed.

☐ Currently has OMB clearance.

Comments:

No personal data will be collected from or maintained on persons who are not Federal employees or Federal Contractors.

| Reviewer's Name | Title | Date |
|------------------------|---|------------------|
| Christopher J. Colburn | Team Leader Information Collections Team | October 25, 2005 |

C. RECORDS RETENTION AND DISPOSAL SCHEDULE DETERMINATION

☒ Additional information is needed to complete assessment.

☐ Needs to be scheduled.

☐ Existing records retention and disposition schedule covers the system - no modifications needed.

☐ Records retention and disposition schedule must be modified to reflect the following:

Comments:

Information provided is insufficient to determine whether the system can be covered by an existing General Record Schedule or if system needs to be scheduled.

| Reviewer's Name | Title | Date |
|---------------------|----------------------------|----------|
| Jeffrey L. Bartlett | Records Management Analyst | 11/15/05 |

D. BRANCH CHIEF REVIEW AND CONCURRENCE

☒ Does not constitute a Privacy Impact Assessment required by the E-Government Act of 2002.

☐ Does constitute a Privacy Impact Assessment required by the E-Government Act of 2002 and requires approval of the Director, IRSD.

CONCUR IN REVIEW: /RA/ Date: 11/15/05

Brenda J. Shelton, Chief
Records and FOIA/Privacy Services Branch

E. DIVISION DIRECTOR APPROVAL OF PRIVACY IMPACT ASSESSMENT:

(Approval required when "Yes" is given to Section B, Questions 1 and 2 and Section C, Question 1 - The system collects, maintains or disseminates personal information in identifiable form about members of the public.)

John J. Linehan, Director, Information and Records Services Division

Date: ____/____/____

**TRANSMITTAL OF PRIVACY IMPACT ASSESSMENT
AND
PRIVACY IMPACT REVIEW RESULTS**

| | | |
|---|---|------------------------------------|
| TO: (Sponsoring Office) Office of the Chief Financial Officer | Office Sponsor: Chutima (Dee) Taylor | |
| Reginald Mitchell, Director Business Process Improvement and Applications Division, OIS | Name of System: Budget Formulation Application | |
| Charlotte L. Turner, Director Program Management, Policy Development and Analysis Staff, OIS | Date PIA Received: 10/14/2005 | Date Completed: 11/15/05 |
| <p>Noted Application Development and System Security Issues:</p> <p>Information provided on this Privacy Impact Assessment is insufficient to determine whether the system can be covered by an existing General Record Schedule or if system needs to be scheduled.</p> <p>NRC Form 637, "NRC Electronic Information System Records Scheduling Survey" and NRC Form 616, "Notification of Electronic System Design or Modification" need to be provided to RASS for review. These documents will provide detailed information necessary to make this determination.</p> | | |
| Brenda J. Shelton, Chief, Records and FOIA/Privacy Services Branch | Signature: /RA/ | Date: 11/15/05 |