

U.S. Nuclear Regulatory Commission Privacy Impact Assessment

Instructions: **Section A, B, C, and D must be completed for all systems. Section E must be completed if yes is the answer to Section B, questions 1 and 2.**

Date: 12/16/2005

A. GENERAL SYSTEM/APPLICATION INFORMATION

(See definitions at end of document)

1. Person completing this form:

Name	Title	Phone No.	Office
Claire E. Robb	Systems Librarian	301-415-5618	OIS

2. System owner:

Name	Title	Phone No.	Office
Claire E. Robb	Systems Librarian	301-415-5618	OIS

3. What is the name of this system?

Endeavor Voyager Integrated Library System

4. Briefly describe the purpose of this system. What agency function does it support?

Voyager is an integrated library system (ILS) developed by Endeavor Information Systems (<http://www.endinfosys.com>). It is a commercial off-the-shelf (COTS) "product." The ILS is a software package used to perform the primary daily functions required for smooth and efficient library operations. The COTS software provides an automated approach to: cataloging new books and materials, circulation of items, serials management (checking in and routing journals), acquisitions, and searching of the online catalog (OPAC) for books, journals, or other materials for or by patrons.

5. Does this Privacy Impact Assessment supports a proposed new system or a proposed modification to an existing system.

_____ New System X Modify Existing System

B. PRIVACY ACT APPLICABILITY

1. Does this system collect, maintain, or disseminate personal information in identifiable form (e.g., name, social security number, date of birth, home address, etc.) about individuals ?

Yes X* No

*Employee name, organization, mailstop.

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

Yes X* No

*Data can be retrieved by name, but routine data retrieval is done by library barcode and not by the name of an employee (Circulation portion of system).

If you answer yes to questions 1 or 2, complete Section E.

C. INFORMATION COLLECTION APPLICABILITY

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

Yes No X

2. Will the data be collected from Federal contractors?

Yes No X

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

Yes No X

4. If the answer is yes to question 3, is the information to be collected covered by an existing OMB clearance number? If yes, indicate the clearance number, 3150-__ __ __ __

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 or Jeff Bartlett, OIS.)

Yes No X

If yes, list 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

- a. Describe the information to be maintained in the system (e.g., financial, medical, training, personnel.) Give a detailed description of the data.

The type of data maintained in the system is bibliographic data about books and journals. Only the circulation portion of the system maintains information on what materials are checked in and out and by whom. An employee's name, organization, and mailstop are collected. There are additional fields of data that could be collected from the employee but they are not going to be used (full work address, work e-mail, work phone). All other data collected is about the book or journal being checked out. Patron record is only available to library staff.

2. Source of the data in this system

- a. Are data being collected from the subject individual? If yes, what types of data are being collected?

Yes. Employee name, organization, and mailstop are collected.

- b. Are data on this individual being collected from other NRC files and databases for this system? If yes, identify the files and databases.

NO

- c. Are data on this individual being collected from a source or sources other than the subject individual and NRC records? If yes, what is the source and what type of data is being collected?

Data on individual - No.

Library materials - Yes. OCLC see www.oclc.org A library consortium that inputs records describing books and journals into a central database, that all libraries contribute to and use.

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

N/A

3. *Attributes of the data*

- a. Are the *data elements* described in detail and documented? If yes, what is the name of the document? Where is it located?

Yes, ILS has manuals prepared for each module of the system:

Voyager® 2001.3 Acquisitions User's Guide
Voyager® 2001.3 Bibliographic Record Linking & MARC Derivation of Records® User's Guide
Voyager® 2001.3 Call Slip Dæmon Implementation & User's Guide
Voyager® 2001.3 Cataloging User's Guide
Voyager® 2001.3 Circulation User's Guide
Voyager® 2001.3 Reporter User's Guide
Voyager® 2001.3 System Administration User's Guide
Voyager® 2001.3 Technical User's Guide
Voyager® 2001.3 WebVoyage User Guide

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

Yes.

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

NO

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

N/A

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

N/A

4. If data are consolidated, what *controls* protect it from unauthorized access, use, or modification?

Library staff only have access to circulation data.

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

- a. Can it be retrieved by personal identifier? ____ Yes ____ No.
If yes, explain.

Yes, it can be retrieved by name but routine data retrieval is done by library barcode and not by the name of an employee.

- b. Is a password or data description required? _____ Yes _____ No.
If yes, explain.

YES - a password is required to access the circulation system

6. Describe the report or reports that can be produced from this system.

- a. What reports are produced from the system?

Items cataloged, circulated, acquisitioned, and routed.

- b. What are the reports used for?

Internal library use only.

- c. Who has access to these reports?

Library staff.

7. *Records retention*

- a. What are the record types contained in this system and the medium on which they reside? (Examples: type - program records, medium - electronic; type - database, medium - electronic; type - system documentation, medium - paper.)

This is a non-record system.

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

This is a non-record system

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

- 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)?

- e. How long will produced reports be maintained?

- f. Where are the reports stored?

- g. Where are the procedures for maintaining the data/reports documented?

- h. How will unused or unwanted reports be disposed of?

8. Capability to *monitor individuals*
- a. Will this system provide the capability to identify, locate, and monitor (e.g., track, surveillance) individuals? ___ Yes ___ No. If yes, explain.
- NO
- b. What controls will be used to prevent unauthorized monitoring?
- Passwords
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.
- N/A
- b. If the Privacy Act System of Records is being modified, will the SOR notice require amendment or revision? ___ Yes ___ No.
If yes, explain.
- N/A
10. Access to the Data
- a. Who will have access to the data in the system (users, managers, system administrators, developers, other)?
- Patron record - Library staff access only
- b. Are criteria, procedures, controls, and responsibilities regarding access documented? If so, where?
- Yes. Security Plan.
- c. Will users have access to all data in the system or will users' access be restricted? Explain.
- Restricted only to online catalog used to search books and materials
<http://207/56/64/16>
- d. What controls are or will be in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?
- Internal use only
- e. Do other systems share data or have access to data in this system?
___ Yes ___ No. If yes, explain.

NO

- f. Will other agencies share data or have access to data in this system (Federal, State, local, other)? ☐ Yes ☐ No. If yes, explain.

NO

- g. Were Privacy Act clauses cited (or will be cited) and were other regulatory measures addressed in contracts with contractors having access to this system?
☐ Yes ☐ No. If yes, explain.

NO

DEFINITIONS

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 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 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
(For Use by OIS Staff)

System Name: **Endeavor Voyager Integrated Library System**

Submitting Office: **Office of Information Services (OIS)**

A. PRIVACY ACT APPLICABILITY REVIEW

☒ Privacy Act is not applicable.

☐ Privacy Act is applicable. Currently covered under System of Records, NRC _____. No modification to the system notice is required.

☐ Privacy Act is applicable. 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 the following changes:

Comments:

The Office of the General Counsel, through consultation with OMB, has determined that the ILS is not considered a Privacy Act system of records. The ILS is not a system keyed to individuals, but to library functions, data about books and journals. The purpose for collecting the employee's name is administrative, not to obtain information about the employee. Routine data retrieval is by done by library material barcode and not by the name of an employee. There are no "adverse consequences" to an employee upon separating from the agency for not being able to return library material. If any changes occur, including amount or type of information stored, the system would need to be reevaluated.

Reviewer's Name	Title	Date
Sandra S. Northern	Privacy Program Officer	February 15, 2006

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

☒ No OMB clearance is needed.

☐ OMB clearance is needed.

☐ Currently has OMB Clearance.

Comments:

This PIA does not contain information collections, based on information provided by and a telephone conversation with Claire Robb that no information is being collected from persons who are not Federal employees or from Federal contractors. Therefore, no OMB clearance is needed.

Reviewer's Name	Title	Date
Christopher J. Colburn	Team Leader	01/30/2006

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:

The collection of library reference materials are not record material. However, the Endeavor Voyager Integrated Library System which will be used to manage this collection must have a retention and disposition assigned to it to ensure that it will be maintained for the life of the reference collection.

Therefore, General Records Schedule 20-9, "Finding Aids (or Indexes) should be applied to this system. The authorized disposition for the system under this schedule is:

Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

Reviewer's Name	Title	Date
Jeff Bartlett	Senior Records Management Analyst	01/30/2006

D. BRANCH CHIEF REVIEW AND CONCURRENCE

<u>X</u>	Does not constitute a Privacy Impact Assessment required by the E-Government Act of 2002
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____ Does constitute a Privacy Impact Assessment required by the E-Government Act of 2002 and requires approval of the Director, IRSD.

CONCUR IN REVIEW: R/A Date: 02/15/2006
Brenda J. Shelton, Chief
Records and FOIA/Privacy Services Branch

E. DIVISION DIRECTOR APPROVAL OF PRIVACY IMPACT ASSESSMENT:

(Approval is only 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/
PRIVACY IMPACT REVIEW RESULTS**

TO: (Sponsoring Office) Office of Information Services	Office Sponsor Claire Robb	
Reginald Mitchell, Director Business Process Improvement and Applications Division, OIS	Name of System Endeavor Voyager Integrated Library System	
Kathy L. Lyons-Burke, CISSP Senior IT Security Officer (SITSO)/ Chief Information Security Officer (CISO), OIS	Date Received: 01/20/2006	Date Completed: 02/15/2006
<p>Noted Application Development and System Security Issues:</p> <p>No Privacy Act issues. If any changes occur, including amount or type of information stored, the system would need to be reevaluated.</p> <p>No OMB clearance required.</p> <p>General Records Schedule 20-9, "Finding Aids (or Indexes) should be applied to this system. The authorized disposition for the system under this schedule is:</p> <p style="padding-left: 40px;">Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.</p>		
Brenda J. Shelton, Chief Records and FOIA/Privacy Services Branch, OIS	Signature: R/A	Date: 02/15/2006