

U.S. Nuclear Regulatory Commission

Privacy Impact Assessment for the

Payroll Historical Database

Date: 06/28/2006

A. GENERAL SYSTEM INFORMATION

1. Provide brief description of the system:

The Payroll Historical Database (PHDB) maintains Time & Attendance records and Earnings & Leave Statements for NRC employees for the period of 11/98 to 11/01. The PHDB is used to provide information/reports to NRC's Human Resources and Payroll staff or NRC's current payroll provider for the time period the system was operational.

2. What agency function does it support?

The PHDB is used to provide information/reports to Human Resources and Payroll staff or NRC's current payroll provider for various human resource and payroll issues that require information contained in the time period the system was operational.

3. Describe any modules or subsystems, where relevant, and their functions.

The PHDB consists of various data files which can be used to create reports of historical payroll data for 11/98 to 11/01. The database operates using Cognos/Impromptu Software. The PHDB was created by a contractor in 2002. Two standard reports were delivered with the system: the Timecard and Earnings & Leave Statement. Additional reports were created by the Payroll staff as needed.

4. Points of Contact:

Project Manager	Office/Division/Branch	Telephone
Patrice Williams-Johnson	OCFO/DFS/TLPS	301-415-5732
Business Project Manager	Office/Division/Branch	Telephone

Patrice Williams-Johnson	OCFO/DFS/TLPS	301-415-5732
Technical Project Manager	Office/Division/Branch	Telephone
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Executive Sponsor	Office/Division/Branch	Telephone
Timothy I. Pulliam	OCFO/DFS	301-415-7338

5. Does this Privacy Impact Assessment (PIA) support a proposed new system or a proposed modification to an existing system?

a. ☐ New System ☐ Modify Existing System ☒ Other (Explain)

This system was created in 2002. A Privacy Impact Assessment was not completed for this system when it was implemented.

b. If modifying an existing system, has a PIA been prepared before?

(1) If yes, provide the date approved and ADAMS accession number.

B. **INFORMATION COLLECTED AND MAINTAINED**

(These questions are intended to define the scope of the information requested as well as the reasons for its collection. Section 1 should be completed only if information is being collected about individuals. Section 2 should be completed for information being collected that is not about individuals.)

1. **INFORMATION ABOUT INDIVIDUALS**

a. Does this system collect information about individuals?

Although the PHDB contains information about individuals, no new information is collected or added. The system contains historical payroll data about NRC employees that were employed between 11/98 and 11/01.

(1) If yes, what group(s) of individuals (e.g., Federal employees, Federal contractors, licensees, general public) is the information about?

Federal employees.

b. What information is being maintained in the system about individuals (describe in detail)?

The system contains Time & Attendance records and Earnings & Leave Statements for each NRC employee for the period of 11/98 to 11/01.

In addition, data files contain complete payroll and time & attendance data that can be used to create a report. Data includes numerous fields, such as: SSN, Name, Address, Grade, Salary, Hourly Rate, Leave Balances, deductions, tax information, benefit information, hours recorded for each pay period, retirement plan, etc.

- c. Is the information being collected from the subject individuals?

No.

- (1) If yes, what information is being collected from the individuals?

- d. Will the information be collected from 10 or more individuals who are **not** Federal employees?

No.

- (1) If yes, does the information collection have OMB approval?

- (a) If yes, indicate the OMB approval number:

- e. Is the information being collected from internal files, databases, or systems?

Yes.

- (1) If yes, identify the files/databases/systems and the information being collected.

The data was collected from NRC's Personnel/Payroll System, PAYPERS, (11/98 to 11/01) before it was decommissioned in 2002.

- f. Is the information being collected from an external sources(s)?

No.

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

- g. How will this information be verified as current, accurate, and complete?

The information was verified in 2002 when the system was tested and compared to the PAYPERS system from which it was derived.

- h. How will the information be collected (e.g. form, data transfer)?

N/A. Data was transferred from the PAYPERS System to the Payroll Historical Database in 2002.

- i. What legal authority authorizes the collection of this information?

5 U.S.C. 5101 et seq., 5501 et seq., 5 U.S.C. 5701 et seq., 5525 et seq., 6301 et seq.; 31 U.S.C. 716, 1104, 1105, 1108, 3325, 3511, 3512, 3701, 3711, 3717, 3718; Executive Order 9397 (Nov. 22, 1943); Public Law 104-193, Personal Responsibility and Work Opportunity Reconciliation Act of 1996.

- j. What is the purpose for collecting this information?

N/A. This information was originally collected on employee time cards which resulted in payroll calculations that produced Earnings & Leave Statements.

2. INFORMATION NOT ABOUT INDIVIDUALS

- a. What type of information will be maintained in this system (describe in detail)?

All data is system about individuals.

- b. What is the source of this information? Will it come from internal agency sources and/or external sources? Explain in detail.

The source system was decommissioned in 2002. The source of this data was a former agency payroll system known as PAYPERS. The data is static, no new information will be added.

- c. What is the purpose for collecting this information?

N/A

C. USES OF SYSTEM AND INFORMATION

(These questions will identify the use of the information and the accuracy of the data being used.)

1. Describe all uses made of the information.

The information is used to produce reports as needed by the Human Resources and Payroll Offices. Usually the information is requested to

determine if an employee was paid properly during the time period the PAYPERS system was the agency system of record. Sometimes data is requested by the Office of Personnel Management (OPM) for some benefit issue regarding an NRC employee or former employee. Various events occur that require reviewing the payroll records for the time the system covers.

2. Is the use of the information both relevant and necessary for the purpose for which the system is designed?

Yes.

3. Who will ensure the proper use of the information?

Chief, Time, Labor and Payroll Services Team, Division of Financial Services, OCFO.

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

No. A data dictionary is not available.

- a. If yes, what is the name of the document that contains this information and where is it located?

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

No.

- a. If yes, how will aggregated data be maintained, filed, and utilized?

- b. How will aggregated data be validated for relevance and accuracy?

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

6. How will the information be *retrieved* from the system (be specific)?

The information is retrieved from the system through the use of Impromptu Queries and Reports that retrieve the data based on an employees' Social Security Number and a time frame or specific pay period. Some standard reports exist that cover most of the inquiries. Additional reports can be created as needed.

7. Will this system provide the capability to identify, locate, and monitor (e.g., track, observe) individuals?

No.

- a. If yes, explain.

(1) What controls will be used to prevent unauthorized monitoring?

8. Describe the report(s) that will be produced from this system.

The system contains Time & Attendance records for each NRC employee for the period of 11/98 to 11/01. The system contains Earnings & Leave Statements for NRC employees for the period of 11/98 to 11/01. In addition, data files contain complete payroll and time & attendance data that can be used to create a report using any of the available payroll data fields.

- a. What are the reports used for?

The reports are used to research or confirm a payroll or human resources issue in regards to a specific employee.

- b. Who has access to these reports?

Two to three employees of the Time, Labor, and Payroll Services Team and OIS System Administration staff.

D. RECORDS RETENTION AND DISPOSAL

(These questions are intended to establish whether the information contained in this system has been scheduled, or if a determination has been made that a general record schedule can be applied to the information contained in this system. Reference NUREG-0910, "NRC Comprehensive Records Disposition Schedule.")

1. Has a retention schedule for this system been approved by the National Archives and Records Administration (NARA)?

No.

- a. If yes, list the disposition schedule.

2. Is there a General Records Schedule (GRS) that applies to information in this system?

No.

a. If yes, list the disposition schedule.

3. If unscheduled, what are your retention requirements for the information maintained in this system? How long must the material be maintained to meet your programmatic needs?

There is no specific retention period for this data. The data is helpful to the agency in resolving human resources and payroll issues, so it should be kept as long as possible. There is no paper documents involved, so storage is not an issue.

E. ACCESS TO DATA

1. INTERNAL ACCESS

- a. What organizations (offices) will have access to the information in the system?

Only OCFO and OIS has access to the system. HR and Payroll have access to the information when the reports are provided.

(1) For what purpose?

The system is used to retrieve data on NRC employees for the time period of 11/98 to 11/01 which is used to assist in resolving a payroll, human resources or benefit issue.

(2) Will access be limited?

Yes, system access is limited to two or three OCFO/DFS/TLPS employees. Report distribution is limited to HR, Payroll, and OPM.

- b. Will other systems share or have access to information in the system?

No.

- c. How will information be transmitted or disclosed?

The data can be transmitted if saved to a file (example: Excel) and then emailed or provided on a CD or disk, or a hard copy report can be provided.

- d. What controls will prevent the misuse (e.g., unauthorized browsing) of information by those having access?

The information requires the database software be installed on an employee's computer, the employee's LAN ID must be set up by OIS to access the application. Access to the system requires knowledge of two passwords.

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

No, not regarding access. However the following system documentation exists:

**Operations Guide
PHDB Technical Guide
Payroll Historical Database Users Guide
Payroll Historical Database Test Plan**

- (1) If yes, where?

Guides on G:DFS/TLPSTeam/PAYPERS

2. EXTERNAL ACCESS

- a. Will external agencies/organizations/public share or have access to the information in this system?

Yes.

- (1) If yes, who.

The only external agency we are likely to give this information to is the Office of Personnel Management (OPM).

- b. What information will be shared/disclosed and for what purpose?

Information shared with OPM will be shared as needed regarding specific employees that OPM requests information on in order to process retirement or address some employee benefit issue.

- c. How will this information be transmitted/disclosed?

In hard copy or soft copy report format.

F. TECHNICAL ACCESS AND SECURITY

1. Describe security controls used to limit access to the system (e.g., passwords). Explain.

System access is restricted to just two or three OCFO LAN IDs that are given access through the Office of Information Systems (OIS). Also the database resides on the LAN in the shared "I Drive", which has limited access. Two passwords are required to access the system. Two or three OIS staff also have access besides the OCFO staff.

2. Will the system be accessed or operated at more than one location (site)?

No. It is only accessible at NRC Headquarters.

- a. If yes, how will consistent use be maintained at all sites?

3. Which user group(s) (e.g., system administrators, project manager, etc.) have access to the system?

Access is provided to the staff of the Time, Labor, and Payroll Services Team, the System administrators in OIS.

4. Will a record of their access to the system be captured?

No. The system does not have this capability.

- a. If yes, what will be collected?

5. Will contractors have access to the system?

Yes.

- a. If yes, for what purpose?

OIS contractors provide support to the system by assisting with access and assistance in creating new reports (as needed).

- Ensure that the following Federal Acquisition Regulation (FAR) clauses are referenced in all contracts/agreements/purchase order where a contractor has access to a Privacy Act system of records to ensure that the wording of the agency contracts/agreements/purchase order make the provisions of the Privacy Act binding on the contractor and his or her employees:

- 52.224-1 Privacy Act Notification.
- 52.224-2 Privacy Act.

6. What auditing measures and technical safeguards are in place to prevent misuse of data?

None.

7. Are the data secured in accordance with FISMA requirements?

No. A Certification & Accreditation has never been completed for this system.

a. If yes, when was Certification and Accreditation last completed?

PRIVACY IMPACT ASSESSMENT REVIEW/APPROVAL
(For Use by OIS/IRSD/RFPSB Staff)

System Name: Payroll Historical Database

Submitting Office: Office of the Chief Financial Officer (OCFO)

A. PRIVACY ACT APPLICABILITY REVIEW

☐ Privacy Act is not applicable.

☒ Privacy Act is applicable. Currently covered under System of Records, NRC-21, "Payroll Accounting Records". 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:

No information collected, maintained, and/or disseminated about the public.

Reviewer's Name	Title	Date
Sandra S. Northern	Privacy Program Officer	August 8, 2006

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

☒ No OMB clearance is needed.

☐ OMB clearance is needed.

☐ Currently has OMB Clearance. Clearance No. _____

Comments:

The information maintained and collected in this system is from federal employees, and no information is being maintained or collected from the public. Therefore, no OMB clearance is required.

Reviewer's Name	Title	Date
Christopher J. Colburn	Team Leader	August 16, 2006

C. RECORDS RETENTION AND DISPOSAL SCHEDULE DETERMINATION

☐ No record schedule required.

☒ 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 answers to item D of this PIA indicate that there is no appropriate schedule for the material contained in this system. This may not be correct. It appears that General Records Schedule 2-2 , "Noncurrent Payroll Files" may apply. This schedule requires that the information be "Destroyed 15 years after close of pay year in which generated."

Further information is required to determine the appropriate disposition for this material. However, this does not preclude moving forward with certification of the PHDB system.

Reviewer's Name	Title	Date
Jeff Bartlett	Senior Records Analyst	8/16/2006

D. BRANCH CHIEF REVIEW AND CONCURRENCE

 X Does not constitute a Privacy Impact Assessment required by the E-Government Act of 2002 (no information about the public).

 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: 08/17/2006

Margaret A. Janney, Chief
Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services

E. DIVISION DIRECTOR APPROVAL OF PRIVACY IMPACT ASSESSMENT *(If required, refer to D. above.)*

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

Date _____

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

TO: (Sponsoring Office) Office of the Chief Financial Officer	Office Sponsor: Timothy I. Pulliam, Director Division of Financial Services, OCFO	
Reginald W. Mitchell, Director Business Process Improvement and Applications Division, OIS	Name of System: Payroll Historical Database	
Kathy L. Lyons-Burke, CISSP Senior IT Security Officer (SITSO)/Chief Information Security Officer (CISO) Office of Information Services	Date RFPSB Received: 08/02/2006	Date RFPSB Completed Review: 08/17/2006
<p>Noted Application Development and System Security Issues:</p> <p>Covered under Privacy Act System of Records, NRC-21, "Payroll Accounting Records".</p> <p>No information collection issues.</p> <p>Further information is required to determine the appropriate disposition for this material. However, this does not preclude moving forward with certification of the PHDB system.</p>		
Margaret A. Janney, Chief Records and FOIA/Privacy Services Branch, IRSD, OIS	Signature: /RA/	Date: 08/17/2006