

U.S. Nuclear Regulatory Commission

Privacy Impact Assessment for the

NRC Knowledge Management Center (KC)

Date: August 15, 2006

A. GENERAL SYSTEM INFORMATION

1. Provide brief description of the system:

The NRC Knowledge Management Center will use, **Tomoye ECCO**, a web-based Commercial Off the Shelf (COTS) Communities of Practice application that will be used as a knowledge management resource, connecting people to information by collecting expert knowledge on lessons learned and best practices that are shared within selected NRC Program Offices to make work process more efficient, and avoid duplication of knowledge on NRC subject matters that can include new reactor construction, power reactor licensing, power reactor and materials licensing inspection, etc.

2. What agency function does it support?

ECCO will be connected to the NRC LAN/WAN infrastructure but have no other internal or external systems interfaces. No public access to the information is currently planned. The discussion threads and information collected and maintained within the NRC Knowledge Management Center will be retained in a searchable repository. The KC supports the agency's strategic goal of Management Excellence through knowledge transfer and sharing.

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

N/A

4. Points of Contact:

Project Manager	Office/Division/Branch	Telephone
Ayanna Rice	OIS/BPIAD	301-415-5490
Business Project Manager	Office/Division/Branch	Telephone
Kathy Halvey Gibson	HR/ADTD	301-415-0322

Technical Project Manager	Office/Division/Branch	Telephone
James Morris	HR/HRTD	301-415-8738
Executive Sponsor	Office/Division/Branch	Telephone
James McDermott	D: HR	301-415-7516

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)

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

NA

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

NA

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?

Yes

(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)?

Name
Photograph (voluntary)
Educational history (voluntary)
Employment history (voluntary)
Technical proficiency (voluntary)

- c. Is the information being collected from the subject individuals?
- Yes
- (1) If yes, what information is being collected from the individuals?
- All
- 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?
- NA
- (a) If yes, indicate the OMB approval number:
- NA
- e. Is the information being collected from internal files, databases, or systems?
- No
- (1) If yes, identify the files/databases/systems and the information being collected.
- NA
- 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?
- NA
- g. How will this information be verified as current, accurate, and complete?
- By each individual. The community leader will also review entries.
- h. How will the information be collected (e.g. form, data transfer)?
- Information voluntarily supplied by each user by completing an online form.

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

NA

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

For individuals to share pertinent information/knowledge relating to their fields of expertise.

2. **INFORMATION NOT ABOUT INDIVIDUALS**

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

Technical information from relevant sources of outside information that are not agency records such as White Papers, Journal Articles, Metadata. References to key NRC regulatory guidance from ADAMS and public web site. Links to other public domain information from other web sites. Technical information contained or referenced within the KC may be of a proprietary or pre-decisional nature. Information may not be publicly available.

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

Technical information will be collected voluntarily from the subject individuals (NRC Employees). No contractor or licensee subject individuals will be queried for information stored and maintained in the KC.

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

For individuals to share pertinent information relating to their fields of expertise and to share technical, scientific, and administrative information and knowledge related to the mission of the NRC.

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 system is designed and intended to collect, store, and share information and knowledge relevant to the mission of the NRC. Information usage is dependent on the needs of the individual system users.

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?

System users and community leaders are responsible for ensuring the proper use of the information.

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

Yes

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

Tomoye ECCO API guide.

Tomoye training guide.

Electronically available on the server.

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?

NA

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

NA

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

Password access. User information may only be modified by individuals, community leaders, or system administrators.

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

Through the online user directory using predefined searches such as name, subject, keyword, or document type and only within the community of authorized access.

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

Yes

a. If yes, explain.

Displays a "who's online list" within community of authorized access.

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

Password access to the Intranet and to individual communities.

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

Number of times that knowledge items are viewed and or downloaded (canned reports). Reports do not identify individuals.

a. What are the reports used for?

Assigning relative values to the online knowledge items

b. Who has access to these reports?

Project managers, system administrators, community leaders

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.

NA

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

No

a. If yes, list the disposition schedule.

NA

3. If you answered no to questions 1 and 2, complete NRC Form 637, NRC Electronic Information System Records Scheduling Survey, and submit it with this PIA.

E. ACCESS TO DATA

1. INTERNAL ACCESS

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

All NRC employees will have access to the main KC center site via the NRC Intranet. Access to the individual communities on the site will be controlled by the individual community leaders.

- (1) For what purpose?

To share information and knowledge related to the NRC's mission.

- (2) Will access be limited?

Yes. Access to the individual communities on the site will be controlled by the individual community leaders.

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

No

- c. How will information be transmitted or disclosed?

Information will be disclosed by being posted on the site. Information that is proprietary or pre-decisional will be identified as such. Classified information is not allowed to be posted on the site. Information can be downloaded from the site, but can not be transmitted from the site.

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

The information available on the site is intended to be browsed. Documents/information that are non-public, proprietary, etc, will be identified as such.

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

Yes

(1) If yes, where?

This information is recorded in the ECCO Training Guide. Will also be documented in a charter which each community will develop.

2. **EXTERNAL ACCESS**

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

No

(1) If yes, who.

NA

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

NA

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

NA

F. **TECHNICAL ACCESS AND SECURITY**

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

Passwords. Access to the NRC Intranet is password controlled: the application is only accessible via the NRC Intranet. Each community can limit access to their area.

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

No - it is operated at headquarters and accessed from remote locations via a Web-based Intranet connection.

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

NA

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

Community members.
Community leaders.
System administrators.
Sponsoring office project manager.

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

Yes

- a. If yes, what will be collected?

Times logged in and out of the communities.

5. Will contractors have access to the system?

No, unless requested and accompanied by Office of Information Services staff.

- a. If yes, for what purpose?

To install application updates.

- 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?

NA

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

Being developed.

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

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

System Name: **NRC Knowledge Management Center (KC)**

Submitting Office: **Office of Human Resources (HR)**

A. PRIVACY ACT APPLICABILITY REVIEW

☐ Privacy Act is not applicable.

☐ Privacy Act is applicable. Will be maintained 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. Will be covered under System of Records, NRC-42, Strategic Workforce Planning Records. Modification to the system notice is required. FOIA/PA Team will take the lead.

Comments:

This system will contain information provided by employees who voluntarily choose to share the knowledge and skills they possess, regarding best practices and lessons learned, with interested agency staff with a need-to-know the information to perform the functions assigned to them or their organization. Information about an employee entered into a profile, other than their name, will be provided on a voluntary basis.

Since one of the way to retrieve information will be by employee name, the Office of Human Resources intends to operate the NRC Knowledge Management Center under NRC's current Privacy Act system of records NRC-42, Strategic Workforce Planning Records. This system of records maintains information on the knowledge and skills of NRC staff. Minor modifications to the system notice will be made to cover this new IT system.

No information will be collected from or be maintained on members of the public.

Reviewer's Name	Title	Date
Sandra S. Northern	Privacy Program Officer	November 13, 2006

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

☒ No OMB clearance is needed.

☐ OMB clearance is needed.

☐ Currently has OMB Clearance. Clearance No. _____

Comments:

The NRC Knowledge Management Center captures information from NRC staff and does not capture information from the public. Therefore, no OMB clearance is needed.

Reviewer's Name	Title	Date
Christopher J. Colburn	Team Leader	October 3, 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:

Initial submission of PIA indicated that this system does not contain records. OIS records staff does not believe this to be the case. The collaborative environment being developed will facilitate decision making within the agency and in some case will create records on this site that will need to be captured. OIS believes that further dialog and discussion regarding how this application will capture these records is required. In addition, a schedule for the system will need to be established. However, this further records review does not preclude moving forward with system certification.

Reviewer's Name	Title	Date
Jeff Bartlett	Senior Records Analyst	10/20/2006

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 members of 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 11/13/2006

Margaret A. Janney, Chief
Records and FOIA/Privacy Services Branch

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

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

Date _____

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

TO: (Sponsoring Office) Office of Human Resources (HR)	Office Sponsor James McDermott, Office Director	
James C. Corbett, Director Business Process Improvement and Applications Division, OIS	Name of System: NRC Knowledge Management Center (KC)	
Kathy L. Lyons-Burke, CISSP Senior IT Security Officer (SITSO)/Chief Information Security Officer (CISO) Office of Information Services	Date RFPSB Received: 09/21/2006	Date RFPSB Completed Review: 11/13/2006
<p>Noted Application Development and System Security Issues:</p> <p>Information will be maintained under Privacy Act system of records NRC-42, Strategic Workforce Planning Records.</p> <p>No information collection issues.</p> <p>Further records management review is required. However, this does not preclude moving forward with system certification.</p>		
Margaret A. Janney, Chief Records and FOIA/Privacy Services Branch Office of Information Services	Signature: /RA/	Date: 11/13/2006