

U.S. Nuclear Regulatory Commission

Privacy Impact Assessment

(Designed to collect the information necessary to make relevant determinations regarding the applicability of the Privacy Act, the Paperwork Reduction Act information collections requirements, and record management requirements.)

for the

Labor Relations Software Implementation

Date: March 29, 2007

A. GENERAL SYSTEM INFORMATION

1. Provide brief description of the system:

Labor Relations (LR) will use a commercial off-the-shelf (COTS) application entitled, "entelliTrak LR Edition" to efficiently manage, track, and report labor and employee relation actions. LR will also provide workforce analysis, and trend recognition in alleged article violations in the collective bargaining agreement, unfair labor practice charges, and arbitration cases.

2. What agency function does it support?

LR will support the NRC Labor-Management Relations Program as defined in NRC Management Directive 10.102, **Labor-Management Relations Program for Federal Employees**.

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

N/A

4. Points of Contact:

Project Manager	Office/Division/Branch	Telephone
David Holley	OIS/BPIAD/BPPMB	415-6486
Business Project Manager	Office/Division/Branch	Telephone
Angela Bolduc	OHR/OLR	415-7526

Technical Project Manager	Office/Division/Branch	Telephone
Executive Sponsor	Office/Division/Branch	Telephone
James McDermott	OHR/Director	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?

(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 maintain 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
Email address (login ID)
Phone Number
Business location
Organization
Complaint/Issue description

System-generated case number.

- 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?

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

- 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.

- 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?

Verification of information will occur between the employee, the employee's manager (or plaintiff), and the OHR/OLR Specialist assigned to the case.

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

Information will be manually entered into the system from verbal input.

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

The Civil Service Reform Act of 1978 requires all Federal agencies to establish an employee and labor management relations program. NRC MD 10.102, ***Labor-Management Relations Program for Federal Employees*** defines the NRC Labor-Management Relations Program.

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

The purpose for collecting this info is to accurately capture, store, manage, track, and report the issues, status, and outcomes of employee-management issues and grievances.

2. **INFORMATION NOT ABOUT INDIVIDUALS**

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

There may be some statistical data maintained in the system such as: number of cases established per year; types of cases, etc.

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

This information will result directly from the manually entered data by the OHR/OLR Specialists, from information verified by the employee and plaintiff. Upon entry, the system will generate a case number for each case entered.

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

Such information is relevant for reporting to the Commission, OMB, et., al.

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 electronic data will replace a large portion of the old paper-file-cabinet storage operation currently used in OHR/OLR for its labor-management relations program. Some paper case evidence such as signed, sworn affidavits may not be replaced electronically until such time as the agency has electronic signature

capability. Additionally, ad-hoc reports can be generated with updated information with the touch of a key-stroke for reporting to senior management, union representatives, the Commission, and OMB.

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?

The end users (Labor Relations Specialists) 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?

EntelliTrak LR Edition User's Guide.

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)?

Information will be retrieved by last name, case number, or case type.

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.

Ad hoc reports for any required periodic reporting and requested data.

a. What are the reports used for?

Reports will be generated and submitted to satisfy agency senior management, Commission, collective bargaining agreement, and OMB requirements.

b. Who has access to these reports?

The 5 system users and those who are authorized access or have a need to know.

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 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?

OHR/OLR.

- (1) For what purpose?

To track grievance data relating to labor relations and employee relations, including bargaining units and agreements, from beginning to end.

- (2) Will access be limited?

Yes. Limited to the 5 users.

- 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 entered into the system manually by the 5 users. Reports will be generated and stored within the system.

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

Those HR/LR staff with access are already deemed to have a need to know and are aware that disclosure of the information to anyone else would be an unauthorized disclosure of privacy information.

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

Yes.

- (1) If yes, where?

EntelliTrak LR Edition User's Guide.

2. **EXTERNAL ACCESS**

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

No.

(1) If yes, who.

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

Information pertaining to employee grievances and labor-management relations will be shared to satisfy NRC senior management, collective bargaining agreement, Commission, and OMB requirements.

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

The information will be disclosed formally in the form of briefings to the aforementioned audiences.

F. TECHNICAL ACCESS AND SECURITY

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

The 5 system users will be issued user names and passwords to access the system. The system will be installed locally on the 5 user's PCs.

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

No. The system can only be accessed from the 5 PCs that it will be installed on by one of the 5 users with an issued username and password. All 5 users are located at NRC Headquarters, OHR/OLR.

- 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?

No one other than the 5 users have access to the system.

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

Yes.

- a. If yes, what will be collected?

A time-stamped audit trail of all input actions will be captured.

5. Will contractors have access to the system?

Not unless requested by OHR/OLR staff.

- a. If yes, for what purpose?

To facilitate the installation of release updates and patches.

- 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?

A time-stamped audit trail of all input actions will be captured. Reports of system use can be generated and analyzed.

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

FISMA compliance in progress.

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

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

System Name: Labor Relations (LR)

Submitting Office: Office of Human Resources (HR)

A. PRIVACY ACT APPLICABILITY REVIEW

____ Privacy Act is not applicable.

X Privacy Act is applicable. System will be covered under Privacy Act system of records, NRC-8, "Employee Disciplinary Actions, Appeals, Grievances, and Complaints 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 additional comments.

Reviewer's Name	Title	Date
Sandra S. Northern	Privacy Program Officer	April 13, 2007

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

X No OMB clearance is needed.

____ OMB clearance is needed.

____ Currently has OMB Clearance. Clearance No. _____

Comments:

This system manages, tracks, and reports Federal employee labor relations actions. It does not collect information from the public, and therefore, does not require OMB approval. No OMB clearance is needed.

Reviewer's Name	Title	Date
Christopher Colburn	Senior IM Automation Specialist	April 9, 2007

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:

PIA indicates that the records contained in this system are not covered by the General Records Schedule. However, GRS 1-28 in conjunction with GRS 20-3 seem to be applicable based on the information provided. Therefore, further information will be required to determine if the GRS schedules can be applied or whether a new programmatic schedule will need to be established and approved by NARA.

The need for further records management review does not preclude moving forward with the system certification.

Reviewer's Name	Title	Date
Jeff Bartlett	Senior Records Analyst	4/16/07

D. BRANCH CHIEF REVIEW AND CONCURRENCE

 X This IT system **does not** collect, maintain, or disseminate information in identifiable form from or about members of the public.

 This IT system **does** collect, maintain, or disseminate information in identifiable form from or about members of the public.

I concur in the Privacy Act, Information Collections, and Records Management reviews:

 /RA/ Date 4/17/2007
Margaret A. Janney, Chief
Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services

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

TO: James McDermott, Director, Office of Human Resources	
Name of System: Labor Relations	
Date RFPSB received PIA for review: April 2, 2007	Date RFPSB completed PIA review: April 17, 2007
Noted Issues: <p>This IT system will contain Privacy Act information. It will be covered by Privacy Act system of records NRC-8, "Employee Disciplinary Actions, Appeals, Grievances, and Complaints Records."</p> <p>No information collection issues.</p> <p>Further information will be required to determine if the GRS schedules can be applied or whether a new programmatic schedule will need to be established and approved by NARA.</p> <p>The need for further records management review does not preclude moving forward with the system certification.</p>	
Margaret A. Janney, Chief Records and FOIA/Privacy Services Branch Office of Information Services	Signature/Date: /RA/ 04/17/2007
<i>Copies of this PIA will be provided to:</i> <i>James C. Corbett, Director</i> <i>Business Process Improvement and Applications Division</i> <i>Office of Information Services</i> <i>Kathy L. Lyons-Burke, CISSP</i> <i>Senior IT Security Officer (SITSO)/Chief Information Security Officer (CISO)</i> <i>Office of Information Services</i>	