

## 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 collection requirements, and records management requirements.*

### **NRC Strategic Acquisition System (STAQS)**

**Date:** December 31, 2014

#### **A. GENERAL SYSTEM INFORMATION**

1. Provide a detailed description of the system:

**The STAQS system is NRC's Strategic Acquisition system. The solution is a Commercial off the Shelf (COTS) application integrated into the agency's FAIMIS (Financial Accounting and Integrated Management Information System) Core Financial System (CFS).**

2. What agency function does it support?

**The STAQS system enforces standard processes and procedures involved in acquisition activities, establishes automated end-to-end workflow, and through integration with the CFS system facilitates the reconciliation and consistency of reporting of agency spending. The system assures transparency in process flow, increases staff accountability, reduces redundancy, ensures compliance with Federal acquisition regulations and requirements, streamlines individual touch points, and enables "real time" reporting of all agency procurement transactions and result in enhanced visibility and standardization of the agency's entire acquisition workload.**

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

**The STAQS system has no modules or subsystems**

4. What legal authority authorizes the purchase or development of this system?

**Federal Acquisition Regulation (FAR) Parts 4, 9, 12, 13, 15, 36 and 42.**

5. What is the purpose of the system and the data to be collected?

**To create procurement documents such as contracts, solicitations, and so forth; to prepare required reporting of data and information from agency**

acquisition and procurement records to the Federal Procurement Data System-Next Generation (FPDS-NG); and, to provide information to other Federal agencies for audits and reviews.

6. Points of Contact:

<b>Project Manager</b>	<b>Office/Division/Branch</b>	<b>Telephone</b>
Ron Deavers	FAIMIS Acquisition Technical and Project Engineering Branch	301-415-7301
<b>Business Project Manager</b>	<b>Office/Division/Branch</b>	<b>Telephone</b>
James Corbett	Division of Contracts	301-415-3600
<b>Technical Project Manager</b>	<b>Office/Division/Branch</b>	<b>Telephone</b>
Ray Crouse	Systems Development Branch	301-415-5276
<b>Executive Sponsor</b>	<b>Office/Division/Branch</b>	<b>Telephone</b>
Cynthia Carpenter	Office of Administration	301-492-3500

7. 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 assessment support the FY15 annual review of the STAQS Privacy Impact Assessment**

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

**Yes**

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

**ML12244A508**

- (2) If yes, provide a summary of modifications to the existing system.

**Updated to note that two-factor authentication using software certificates is used to control access to the system, not user ID and password as initially implemented**

**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, identify the group(s) of individuals (e.g., Federal employees, Federal contractors, licensees, general public).

**Federal contractors (Vendors) and Federal employees (NRC Acquisition Officials)**

- (2) IF NO, SKIP TO QUESTION B.2.

- b. What information is being maintained in the system about an individual (be specific)?

**NRC Acquisition Officials. Name, Position, and Title, Work Telephone Number, User ID, and Name of project officer**

**Vendor (if vendor is an individual). Name, address, and Social Security number or EIN number**

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

**The information about the NRC Acquisition Officials is entered into the STAQS system by the individual.**

**Vendor information (including name, address, Social Security number [SSN] or Employer Identification Number [EIN]) is not collected directly from the vendor. Information about vendors, including information pertaining to individual vendors, is pulled from the Central Contractor Registration (CCR) database. As detailed elsewhere in the STAQS Privacy Impact Assessment document, the CCR database is the primary vendor database for the U.S. Federal Government. The CCR database collects, validates, stores, and disseminates data in support of agency acquisition missions.**

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

**Name, User ID, Work Telephone Number, Position, and Title**

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

**No. Vendor information is not collected from individuals. Vendor information, including that on individual vendors is pulled from the CCR database.**

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

**N/A**

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

**N/A**

e. Is the information being collected from existing NRC files, databases, or systems?

**Yes, but not vendor information, including that on individual vendors, which is pulled from the CCR database, not from existing NRC files.**

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

**The name of the NRC project officer is derived from the "Request for Procurement Action (RFPA)."**

f. Is the information being collected from external sources (any source outside of the NRC)?

**Yes**

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

**Vendor information (name, address, TIN / SSn) comes from the CCR database. The CCR database is the primary vendor database for the U.S. Federal Government. The CCR database collects, validates, stores, and disseminates data in support of agency acquisition missions.**

**Both current and potential government vendors are required to register with the CCR database in order to do be awarded contracts by the government. Vendors are required to complete a one-time registration to provide basic information relevant to procurement and financial transactions. Vendors must update or renew their registration annually to maintain an active status. The CCR database electronically shares the secure and encrypted data with the federal agencies' finance offices to facilitate paperless payments through electronic funds transfer (EFT).**

- g. How will information not collected directly from the subject individual be verified as current, accurate, and complete?

**The CCR database pre-populates the following data fields from Dun & Bradstreet (D&B): Legal Business Name, Doing Business Name (DBA), Physical Address, Postal Code/ Zip+4. It is data that is originally entered by the Registrant when they applied for a Data Universal Numbering System (DU-N-S) number.**

**When information needs to be changed or updated the registrant can modify the information. After the registrant makes the desired changes, D&B confirms the changes made with the registrant's record. The registrant then goes to [www.ccr.gov](http://www.ccr.gov) and clicks on Update/Renew, checks the data, and accepts the modified information if it is correct.**

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

**Data transfer**

## 2. **INFORMATION NOT ABOUT INDIVIDUALS**

- a. Will information not about individuals be maintained in this system?

**Yes**

- (1) If yes, identify the type of information (be specific).

**Vendor (business) name, address, tax identification number (TIN); Action type, title, status; NRC contractor number; award costs (estimate, commitment, obligated, and so forth); award date; estimated completion date; NRC program office; DUNS number; agency ID, agency code, and so forth.**

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

**Information about the vendor (name, address, TIN) is retrieved from the CCR database (external source) through data transfer. The remaining data is entered from internal agency generated information.**

## 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 data in this system.

**The data is used for required agency reporting and to provide information to other Federal agencies for audits and reviews. Information is also used**

**to respond to internal requests relating to management, budget, workload, document generation, and so forth.**

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

**Yes**

3. Who will ensure the proper use of the data in this system?

**System Administrators and agency contract specialists ensures proper use of data in the system.**

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?

**Data elements that are described in Federal Acquisition Regulation (FAR) Parts 4, 9, 12, 13, 15, 36 and 42.**

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

**No**

*Derived data is obtained from a source for one purpose and then the original information is used to deduce/infer a separate and distinct bit of information that is aggregated to form information that is usually different from the source information.*

*Aggregation of data is the taking of various data elements and then turning it into a composite of all the data to form another type of data (i.e. tables or data arrays).*

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

**N/A**

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

**N/A**

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

**N/A**

6. How will data be *retrieved* from the system? Will data be retrieved by an individual's name or personal identifier? (Be specific.)

**Data is retrieved by requesting one of the standard reports. Also data can be retrieved from the "Look-Up tab" by action type, assist number, solicitation number, BPA number, contract number, delivery order number, funding action, Inter-agency agreement, planning action, purchase order number, and contractor or vendor ID. Additional queries can be performed by the system administrator using any field of data in system.**

**The STAQS system user interface does not retrieve data by an individual's name or personal identifier. The system retrieves data based on the user who is logged into the system in a manner similar to an email inbox – in the form of a list of all the work items assigned to the user; however, a user cannot view work items assigned to another user.**

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

**No**

- a. If yes, explain.

**N/A**

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

**N/A**

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

- **Action Detail**
- **Unlinked Funding Actions**
- **Upcoming Milestones**
- **FPDS-NG Report**
- **Small Business Statistics**
- **Milestone Report - which include Projected Planning and Milestone Plan**
- **Summary Report**
- **Other Reports - which include Action Summary, Action Status, Acquisition Management Report, Pre Award Summary, Competition in Contracting, List of Active Contracts, Direct 8A Summary and Standard Address**
- **ESA Reports - including ADMIN Report, Desktop Access Report, User Account Status Report and Workgroup Report**

- a. What are the reports used for?

**Manage NRC commercial acquisitions and required agency reporting.**

- b. Who has access to these reports?

**Acquisition officials and system administrators based on roles and responsibilities.**

**D. ACCESS TO DATA**

1. Which NRC office(s) will have access to the data in the system?

**Agency-wide acquisition officials (for example, Contracting Officer, Contract Specialist, Project Officer, Program Manager, and Technical Assistants) have access to data in the system.**

- (1) For what purpose?

**Offices have access to information in the system to fulfill Contract management responsibilities.**

- (2) Will access be limited?

**Yes. Access is limited by roles and responsibilities.**

2. Will other NRC systems share data with or have access to the data in the system?

**Yes**

- (1) If yes, identify the system(s).

**FAIMIS CFS, CRISP Data warehouse. CRISP Data warehouse is a database in OIS's shared 3-tier MSSQL environment. CRISP is not part of FAIMIS.**

- (2) How will the data be transmitted or disclosed?

**Through a Service Oriented Architecture based data exchange**

3. Will external agencies/organizations/public have access to the data in the system?

**No. Information from the system is provided to external agencies, but no external agency has electronic or password access to this system.**

(1) If yes, who?

**N/A**

(2) Will access be limited?

**External agencies or organizations, or the public, have no access to data in the system. All access to data is password protected and restricted to NRC acquisition officials.**

(3) What data will be accessible and for what purpose/use?

**Data in the system is not accessible to external agencies or organizations, or the public. Required data and information from agency acquisition and procurement records is provided to various Federal Web Sites such as Federal Procurement Data System (FPDS), FedConnect, Grants.gov, and so forth.**

(4) How will the data be transmitted or disclosed?

**NRC may send information to external Federal websites such as Federal Procurement Data System, Next Generation (FPDS-NG), FedConnect, and Grants.gov; however, external agencies or organizations, or the public, have no access to data in the system.**

**E. RECORDS RETENTION AND DISPOSAL**

*The National Archives and Records Administration (NARA), in collaboration with federal agencies, approves whether records are temporary (eligible at some point for destruction/deletion because they no longer have business value) or permanent (eligible at some point to be transferred to the National Archives because of historical or evidential significance). These determinations are made through records retention schedules and are required under 36 CFR 1234.10. The following questions are intended to determine whether the records in the system have an approved records retention schedule or if one will be needed.*

1. Can you map this system to an applicable retention schedule in [NUREG-0910](#), or the [General Records Schedules](#) at <http://www.archives.gov/records-mgmt/grs> ?

**Yes**

a. If yes, please cite the schedule number, approved disposition, and describe how this is accomplished. For example, will the records or a composite thereof be deleted once they reach their approved retention or exported to a file for transfer based on their approved disposition?

**GRS 1.1/010. Disposition: Temporary: Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.**

- b. If the answer to question E.1 is yes, skip to F.1. If the response is no, complete question E.2 through question E.7.
2. If the records cannot be mapped to an approved records retention schedule, how long do you need the records? Please explain.

**N/A**

3. Would these records be of value to another organization or entity at some point in time? Please explain.

**N/A**

4. How are actions taken on the records? For example, is new data added or updated by replacing older data on a daily, weekly, or monthly basis?

**N/A**

5. What is the event or action that will serve as the trigger for updating, deleting, removing, or replacing information in the system? For example, does the information reside in the system for three years after it is created and then is it deleted?

**N/A**

6. Is any part of the record an output, such as a report, or other data placed in ADAMS or stored in any other location, such as a shared drive or MS SharePoint?

**N/A**

7. Does this system allow for the deletion or removal of records no longer needed and how will that be accomplished?

**N/A**

## **F. TECHNICAL ACCESS AND SECURITY**

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

**Two-factor authentication using software certificates is used as security controls to control access to the system. Access authorization is limited by roles.**

2. What controls will prevent the misuse (e.g., unauthorized browsing) of system data by those having access?

**System data protected through two-factor authentication using software certificates and audit logs are maintained by the system. Access authorization limited by roles prevents misuse of system data by users.**

3. Are the criteria, procedures, controls, and responsibilities regarding access to the system documented?

**Yes**

- (1) If yes, where?

**Details of access authorization in the STAQS system are laid out in the STAQS System Security Plan.**

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

**Yes**

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

**Access is limited to need to perform specific duties.**

5. Which user groups (e.g., system administrators, project managers, etc.) have access to the system?

**User groups with the ability to access the system include system administrators, project manager, and contractor technical staff.**

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

**Yes**

- a. If yes, what will be collected?

**Audit logs capture information including user ID and date and time of creation or update.**

7. Will contractors be involved with the design, development, or maintenance of the system?

**Yes**

*If yes, and if this system will maintain information about individuals, ensure Privacy Act and/or PII contract clauses are inserted in their contracts.*

- *FAR clause 52.224-1 and FAR clause 52.224-2 should be referenced in all contracts, when the design, development, or operation of a system of records on individuals is required to accomplish an agency function.*
- *PII clause, "Contractor Responsibility for Protecting Personally Identifiable*

*Information” (June 2009), in all contracts, purchase orders, and orders against other agency contracts and interagency agreements that involve contractor access to NRC owned or controlled PII.*

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

**Data in the system protected through two-factor authentication using software certificates and audit logs are maintained in the system.**

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

**Yes**

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

**The STAQS system was giving its Authority to Operate in September 2013.**

**PRIVACY IMPACT ASSESSMENT REVIEW/APPROVAL**  
(For Use by OIS/CSD Staff)

**System Name:** NRC Strategic Acquisition System (STAQS)

**Submitting Office:** Office Administration

**A. PRIVACY ACT APPLICABILITY REVIEW**

Privacy Act is not applicable.

Privacy Act is applicable.

**Comments:**

This system does contain PII (Name, address, and SSN if vendor is an individual). This system is covered under NRC's Privacy Act System of Records, NRC – 5 – Contracts Records Files. This system replaced the Automated Acquisition Management System (AAMS).

Reviewer's Name	Title	Date
Sally A. Hardy	Acting Privacy Officer	January 13, 2015

**B. INFORMATION COLLECTION APPLICABILITY DETERMINATION**

No OMB clearance is needed.

OMB clearance is needed.

Currently has OMB Clearance. Clearance No. \_\_\_\_\_

**Comments:**

The STAQS system is a government-wide, web-accessible database system that maintains information about Federal contractors (Vendors) and Federal employees (NRC Acquisition Officials). Vendor information (including name, address, Social Security number [SSN] or Employer Identification Number [EIN]) is not collected directly from the vendor. Information about vendors, including information pertaining to individual vendors, is pulled from the Central Contractor Registration (CCR) database. The CCR database is the primary vendor database for the U.S. Federal Government. NRC is not directly asking for information from vendors. This system does not capture information from 10 or more non-government employees, and therefore, does not require OMB Clearance.

Reviewer's Name	Title	Date
Tremaine U. Donnell	Clearance Officer	January 12, 2015

**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.

**Comments:**

The records in the STAQS are covered under NARA approved GRS 1.1/010. **Disposition: Temporary:** Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. No modifications to the retention schedule are needed; however, adherence to the retention schedule is mandatory under 44 U.S.C. 3303a(d). Retention functionality or a manual process must be developed to meet this requirement. A recommended approach is to develop minimal record related fields in the system to enable retention. This may be accomplished by including a termination date for the records in order to delete or destroy the information as required.

Reviewer's Name	Title	Date
Mary Haynes	Records Management Analyst	January 12, 2015

**D. BRANCH CHIEF REVIEW AND CONCURRENCE**

- 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 1/13/2015  
Laura Pearson, Chief  
FOIA, Privacy, Info Collections Branch  
Customer Service Division  
Office of Information Services

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

TO: <b>Cynthia Carpenter, Director, Office of Administration</b>	
Name of System: <b>NRC Strategic Acquisition System (STAQS)</b>	
Date CSD received PIA for review: <b>January 2, 2015</b>	Date CSD completed PIA review: <b>January 13, 2015</b>
<b>Noted Issues:</b>  This system is covered under NRC's Privacy Act system of records, NRC-5, "Contracts Records Files".	
Laura Pearson, Chief FOIA, Privacy, Info Collections Branch Customer Service Division Office of Information Services	Signature/Date: <b>/RA/ 1/13/2015</b>
<i>Copies of this PIA will be provided to:</i>  <i>John Moses, Director Solutions Develop Division Office of Information Services</i>  <i>Kathy Lyons-Burke Senior IT Security Officer (SITSO) FISMA Compliance and Oversight Team Computer Security Office</i>	