

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

Space and Property Management System (SPMS)

Date: August 1, 2007

A. GENERAL SYSTEM INFORMATION

1. Provide brief description of the system:

The Nuclear Regulatory Commission (NRC), Office of Administration (ADM), Division of Facilities and Security (DFS) has consolidated its Property Acquisition and Supply System (PASS2), the Space Planning System (SPS) and the HQ Service Request System (SRS) into the Space and Property Management System (SPMS). SPMS is a commercial off the shelf (COTS) product from ARCHIBUS/FM 14 (16.3) acquired to satisfy the ADM's space planning, property management and service request needs. SPMS is utilized by ADM DFS to fulfill its responsibility of administering the NRC space and property management program, property records and inventory, redistribution and disposal, office space allocation, service request system, and ensuring compliance with federal property management policies and regulations.

2. What agency function does it support?

SPMS supports ADM's administration and control of space, property management and the service request systems.

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

Space Planning Module

The space planning module is a design tool to meet NRC headquarters space planning needs, including scenario planning and complying with applicable Federal, State and local health, safety, and accessibility statutes and standards.

Property Module

The property module manages the agency's property, supply and furniture management. This portion of the system will ensure compliance with Joint

Financial Management Improvement Program (JFMIP) requirements. It provides the capability to share data within ADM and with other NRC offices through an on-line weblink. The Property System is used to track property actions from the initial request to final disposition.

Hoteling/Service Request Module

The hoteling/service request module is used by all NRC Headquarters staff for the purpose of requesting various ADM services such as conference room scheduling, labor requests, requests for visitor access and visitor parking. The module allows all users to be informed of the status of requests through an on-line system interface.

4. System Points of Contact:

Project Manager	Office/Division/Branch	Telephone
William Harris	ADM/DSPC/SDB	415-8079
Business Project Manager	Office/Division/Branch	Telephone
Mark Lombard	ADM/DSPC	415-7739
Technical Project Manager	Office/Division/Branch	Telephone
Mary Denney	ADM/PMDA	415-6598
Executive Sponsor	Office/Division/Branch	Telephone
Timothy F. Hagan	ADM	415-6222

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)

ADM's Service Request System (SRS) is being incorporated into the Space and Property Management System (SPMS).

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?

Space module

Federal employees (NRC staff) and Federal contractors

Property module

Federal employees (NRC staff) and Federal contractors

Hoteling/Service Request module

Federal employees (NRC Headquarters staff), Federal contractors, and visitors to the White Flint complex

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

Space module

Employee/contractor name, LAN ID, position title, grade, status, organization, telephone number, location.

Property module

Employee/contractor name, LAN ID, mail stop, office, organization, location.

Hoteling/Service Request module

Employee/contractor name, LAN ID, mail stop, office, organization, visitor name, country/affiliation, drivers license information.

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

Space module

No

Property module

No

Hoteling/Service Request module:

Yes. Visitor provides drivers license information.

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

Yes

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

No

(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.

Employee data - Office of Human Resources (HR) and existing data in the Archibus database.

Flat file from HR (HRData.xls) - HQ2KPS02\Program

Files\Afm14\DATABASE\HRData.xls

HQ2KPS02\Program Files\Afm14\DATABASE

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

Space module

No

Property module

No

Hoteling/Service Request module

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?

Space module

HR/SMPS, email ID, Office Space Liaison Designee

Property module

HP/SMPS, email ID and Property Audit

Hoteling/Service Request module:

All services except VIP - HP/SMPS, email ID

VIP - Drivers license information

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

Employee data auto populates from input of User ID.

Space module

Weekly data transfer and data input

Property module

Weekly data transfer, property forms from property custodians and data input

Hoteling/Service Request module:

All services except VIP - forms

VIP - visitors will provide drivers licence information - individual data input

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

40 U.S.C. 483

40 U.S.C. 487

FPMR Part 41

5 U.S.C. 301

40 U.S.C. 506

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

The information collected is for space planning initiatives, property management, headquarters administrative services, and facility access.

2. INFORMATION NOT ABOUT INDIVIDUALS

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

Space module

Office, Organization Code, Location, Building, Floor, Room Number, Room Area, Room Area Standards

Property module

Office, Organization Code, Building, Floor, Room Number, Purchase Order Number, Property Tag Number, Item Description, Serial Number, Model Number, Acquisition Cost, Acquisition Date, Major/minor Class Number, Manufacturer, Property Custodian, Document Reference Number, Requisition And/or Purchase Order Number and Organizational Account Code

Hoteling/Service Request module

Date, Time, Location, Building, Floor, Vehicle License Plate Number, Vehicle Make, Vehicle Model.

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

Space module

ADM building/floor layout diagrams, organizational assignments.

Property module

Office property custodians, invoices, purchase agreements

Hoteling/Service Request module

Information from employee on services needed, meeting/visit arrangements that need to be scheduled.

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

Space module

To record allocations by organization, physical configurations, classes of use by function, utilization effectiveness, building and interior design limitations, and workstation occupancy status for all NRC workstations in the White Flint complex, regional offices, leased buildings, and the warehouse. While the system is not directly associated with employee moves, it will facilitate the process by serving as an accurate record of office personnel locations that is available to program offices and their partnerships whenever they plan to relocate staff.

Property module

To support ADM's management of the agency's property, supply and furniture management, to track actions from the initial request to purchase and to final disposition. This will also ensure NRC's compliance with Joint Financial Management Improvement Program (JFMIP) requirements. This system will also provide the capability to share information within ADM and with other NRC offices.

Hoteling/Service Request module

To provide web-enabled administrative services for employees located in the Headquarters Complex. This information will enable requests such as labor requests, move requests, conference room requests and for people visiting the NRC complex (VISITOR INFORMATION PROFILE) to be scheduled/arranged/performed.

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.

Space module

ADM conducted a focus group meeting with key program office and support office staff. The purpose of the meeting was to determine their level of interest in such a system and to address the feasibility of linking staffing data with the AutoCAD System. The consensus was that the program offices and the support

offices would benefit from having access to the data on the system and that they would be willing to provide support in updating the data as changes occur.

As part of the plan for utilizing the space planning system, ADM requested NRC headquarters and regional offices to designate a lead contact for space planning. Training on the applications of the space planning system will be available for key staff persons. Drawings and data are provided to them upon request. It is expected that these persons, as active users of this information, will provide an important quality control function for data accuracy.

The primary stakeholders are the ADM/DFS staff who will use the data on a daily basis in conjunction with their duties as space planners and designers. Program offices and support offices are key stakeholders. Every office with a partnership will benefit from having current, accurate drawings and data tables for planning employee moves

The space planning system focuses on two components of general purpose office space: the *primary* (or people occupied) areas, and the office *support* areas. The system contains data needed to perform a *space requirements analysis*. This analysis identifies the functions to be performed in the space and triggers the space allocation formula and design criteria from the databases. Also identified in the analysis are: (1) any special organizational requirements; (2) existing architectural and design conditions; and (3) adjacency requirements. By automating the process of constructing the *space requirements analysis*, space planners can respond quickly to customer requests for space changes in the near term as well as conduct iterative "what-if" scenario planning involving large blocks of space composed of many workstations and multiple organizations. The primary system users consist of the DFS/SPPMB management and design staff, but each program office has a representative who can access the data in the system.

Property module

The following describe all uses made of the information from the Property System:

Records the following for each acquisition: purchase order number, property tag number, item description, serial number, model number, location, acquisition cost, acquisition date, major/minor class number, manufacturer, user name, property custodian, document reference number, requisition and/or purchase order number and organizational account code.

Provide controls to prevent duplication of property tag numbers.

Permit only authorized users to enter system.

Provide audit trails for all property transactions, including the identification of the individual entering the system including the capability to archive all such transactions.

Provide a maintenance history for each item of equipment.

Provide ability to make adjustments or corrections to property records if needed

Identify the type of transaction affecting the property item, e.g., acquisition, change in location, and disposal.

Incorporate adequate security features that prevent unauthorized access to the property system by unauthorized individuals and provide barriers between users and protected resources.

Enable the transfer of responsibility for property from one property custodian to another property custodian. Establish link through e-mail to notify property custodian of pending transfer. Establish ability for property custodian to reject transfer if necessary.

Provide barriers between users and protected resources including different levels of access for system administrator, property custodians, and property personnel. Generic levels of access are as follows:

Level I - Full access with the ability to delete records, update tables and change security assignments.

Level II - Access to all fields. No ability to delete or change security access or change passwords.

Level III - Access to organizational account only with capability to change end user and location codes.

Level IV - Access to individual records on a read-only basis.

Provide security measures through password use, including log-on limitations, access levels based on password assignment and an audit function to detect and document all access and attempted access.

Provide a field for sensitive indicator with "Y" or "N" to indicate whether item purchased is sensitive or non-sensitive. Indicator should be set to default to "N" except when linked with major/minor class code for all sensitive items.

Distinguish between capitalized property and expensed property tracked in the property system.

Provide for on-line search capability on user-defined parameters.

Provide field which can be used to delineate information pertaining to particular items. For example, monitor size, dot pitch, etc.

Provide inventory control subsystem supported by a scanner/barcode capability. The subsystem must provide the capability to upload data from the scanner, match data and print exception reports.

Support a subsystem for tracking requisitions for property and warehouse services with interaction between related subsystems and capability to create audit trails.

Acquiring/Receiving Property

Create a skeletal property record for capturing information on property in transit from the providing entity (e.g., vendor).

Ability to complete skeletal property record upon assuming possession of the item, placing the property asset in service.

Capture warranty/guarantee information, including terms and periods of coverage.

Depreciation

Capture the estimated useful life, depreciation/amortization/depletion method, and salvage/residual value for each asset or group of assets, when applicable.

Calculate depreciation/amortization/depletion based on a management prescribed method (e.g, straight line, physical usage) and the net book value of capitalized assets.

Provide an audit trail for amortization, depletion, and depreciation expense.

Allow authorized users system access to change the estimated useful life and the depreciation method of an asset.

Transfer, Disposal or Retirement of Assets

Establish disposal method table to identify excess property or property held for disposal/retirement.

Capture type of disposal action (e.g, schools, abandonment, excess, donation), final disposition, and date of disposal.

Capture deletions.

Capture date of transfer, transferring entity, and recipient organization.

Maintain an audit trail of transfer, disposal, and retirement actions.

Ability to complete mass deletions (e.g, several items being deleted under same report number.)

Ability to re-enter a property asset using same property id once it has been retired/deleted from system.

Reports

Ability to export data from property system to spreadsheet capability (e.g., lotus, access, excel.)

Ability to sort information and run reports on several different subcategories. For example, depreciated assets, end user, building, property custodian, etc.)

Ability to view reports before printing.

Ability to run report for items in transfer mode (including name of property custodian sending transfer, name of receiving custodian, date of transfer etc.)

Service Request module

Request certain administrative services in the Headquarters Complex, such as, labor requests, move requests, conference room requests and for people visiting NRC complex (VISITOR INFORMATION PROFILE) .

This data will be used for internal requests for uses of conference rooms and special areas within the White Flint Complex, audio-visual equipment, move requests, labor requests, visitor information for building access, video teleconferencing, furniture repair requests and sign requests.

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?

Project Manager, System Administrator, Property Management Specialist, Contract Support.

Key personnel assigned by ADM/HR determine the content of the data tables to ensure the required availability, content, and operability of the Space and Property Management System. These data owners are primarily responsible for all decisions surrounding the Space and Property Management System and make up the Change Control Management Board. When data schema changes are requested the board is responsible for decisions.

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?

The document is on the SPMS server, located in TWFN 6th floor computer Center. File name \\HQ2KPS02\DOCUMENTATION

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)?

Space module

No data retrieved by an individual's name or personal identifier. Data will be retrieved by requesting one of the standard reports. Also, data can be retrieved from the web-link by Property Custodians for their specific offices.

Property module

Information on property assigned to an individual can be retrieved by the individual's name or User ID. Data will be retrieved by requesting one of the standard reports. Also, data can be retrieved from the web-link by Property Custodians for their specific offices.

Hoteling/Service Request module

Data will be retrieved by requesting one of the standard reports. Data can also be retrieved from the web-link by Property Custodians for their specific offices. Information on visitors for facility access can be retrieved by an individual's name or identifier.

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 and what the reports are used for?

Space module

To determine occupancy levels and where offices are located as well as for future space scenarios such as:

Office specific workstations Report
Office specific employees Report
Office specific square footage Report
Office specific vacant offices Report

Property module

To be able to track all information concerning property and equipment purchased by the NRC such as:

Acquisition Report
Requisitions Report
Active Records Report
Excess Report
Depreciation Report

Hoteling/Service Request module

To keep track of all moves and administrative service requests. These reports are used by management for quarterly and monthly totals of requests made by headquarters staff.

Manage Stock Items Report
Requisitions Report
Purchase Orders Report
Manage Stock Inventory Report

- b. Who has access to these reports?

NRC Management and IT and Space Coordinators and Property Custodians.

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?

Yes

- a. If yes, list the disposition schedule.

The disposition schedule is GRS 11.1,2,2a &b, GRS 4.1 and GRS 11.5.

Space module

GRS 11.1

Property module

GRS 4.1

Hoteling/Service Request module

GRS 11.5

- 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?

Space module

Individuals from all offices with assigned duties, who have been approved access by the Office of Administration (Office Property Custodians of NRC, and system administrator of the Service Request System)

Property module

Management and IT Coordinators and Property Custodians. Individuals from all offices with assigned duties, who have been approved access by ADM (Office Property Custodians of NRC, and system administrator of the Service Request System)

Hoteling/Service Request module

Management and IT Coordinators and Property Custodians. Individuals from all offices with assigned duties, who have been approved access by

ADM (Office Property Custodians of NRC, and system administrator of the Service Request System)

(1) For what purpose?

Space module

NRC space issues

Property module

Tracking GFE property

Hoteling/Service Request module

Service requests made for employee services

(2) Will access be limited?

Yes

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

No

c. How will information be transmitted or disclosed?

N/A

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

Password protected, audits, and ADMIN rights

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

Yes

(1) If yes, where?

Clear Case/Rational
HQ2KPS02\DOCUMENTATION

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?

N/A

c. How will this information be transmitted/disclosed?

N/A

F. TECHNICAL ACCESS AND SECURITY

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

The software uses a authentication process for each employee's LAN ID and their password in SPMS. Authorization is granted by the Project Manager of ADM or the System Administrator of the system. Future security will be added once SPMS moves to SQL Server where authentication will be by the network and through OIS.

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

Yes, Headquarters and Regional offices

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

Space module - There will be only one point of entry

Property module - There will be only one point of entry

Hoteling/Service Request module - There will be only one point of entry

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

System administrators, property custodians and NRC staff who submit service requests.

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

Yes

a. If yes, what will be collected?

LAN ID and date/time of usage.

5. Will contractors have access to the system?

Yes

a. If yes, for what purpose?

To manage the space, property and hoteling/service request modules

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

There will be only one point of entry and an audit trail will be used for safeguards. NRC Data Center conducts nightly tape backups.

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

Yes

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

Pending

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

System Name: **Space and Property Management System (SPMS)**

Submitting Office: **Office of Administration (ADM)**

A. PRIVACY ACT APPLICABILITY REVIEW

Privacy Act is not applicable.

Privacy Act is applicable.

- Records on assignment of property to NRC personnel are covered by Privacy Act System of Records NRC-24, Property and Supply Records.
- Visitor Information Profile records are covered by Privacy Act System of Records NRC-40, Facility Security Access Control Records.

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:

Personally identifiable information (PII) on visitors is maintained in VIP portion of Service Request module. However, personal identity is distinct from an individual's professional identity; that is, an employee's name, title, work telephone number, official work location, and work email address are not considered to be PII.

Reviewer's Name	Title	Date
Sandra S. Northern	Privacy Program Officer	October 11, 2007

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

No OMB clearance is needed.

OMB clearance is needed.

Currently has OMB Clearance. Clearance No. _____

Comments:

The Space and Property Management System (SPMS) is a commercial off the shelf product used to fulfill ADM's responsibility of administering the NRC space and property management program, property records and inventory, redistribution and disposal, office space allocation, service request system, and ensuring compliance with federal property management policies and regulations. The system maintains identifier information about Federal employees and contractors with regard to agency property and space requests.

The information collection does not require OMB approval because it is collecting identifier information to service Federal employees and contractors, and the information collected is being used for space planning initiatives, property management, headquarters administrative services, and facility access.

Reviewer's Name	Title	Date
Christopher J. Colburn	Senior Analyst	October 15, 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:

GRS 11 Space and Maintenance Records is the appropriate retention and disposition schedule, however the user should pay close attention to the individual items' (1,2, and 3) differing retention periods.

Reviewer's Name	Title	Date
Tracy Clark	Records Management Analyst	10/11/07

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

TO: Timothy F. Hagan, Director, Office of Administration	
Name of System: Space and Property Management System (SPMS)	
Date RFPSB received PIA for review: September 24, 2007	Date RFPSB completed PIA review: October 15, 2007
<p>Noted Issues:</p> <p>Records on assignment of property to NRC personnel are covered by Privacy Act System of Records NRC-24, Property and Supply Records.</p> <p>Visitor Information Profile records are covered by Privacy Act System of Records NRC-40, Facility Security Access Control Records.</p> <p>Personally identifiable information (PII) on visitors is maintained in VIP portion of Service Request module. However, personal identity is distinct from an individual's professional identity; that is, an employee's name, title, work telephone number, official work location, and work email address are not considered to be PII.</p> <p>No OMB clearance needed for this information collection.</p>	
Margaret A. Janney, Chief Records and FOIA/Privacy Services Branch Office of Information Services	Signature/Date: /RA/ 10/15/2007
<p><i>Copies of this PIA will be provided to:</i></p> <p><i>James C. Corbett, Director Business Process Improvement and Applications Division Office of Information Services</i></p> <p><i>Kathy L. Lyons-Burke, CISSP Senior IT Security Officer (SITSO)/Chief Information Security Officer (CISO) Office of Information Services</i></p>	