

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.)

FOIA Action Case Tracking System (FACTS)

Date prepared by the sponsoring office: March 25, 2008

A. GENERAL SYSTEM INFORMATION

1. Provide brief description of the system.

FACTS is a DOS based system used to track information on Freedom of Information Act/Privacy Act (FOIA/PA) requests, to generate statistical data for annual reports, and to provide the FOIA/PA caseworker with historical request information.

2. What agency function does it support?

FOIA/PA Program

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

N/A

4. Points of Contact:

Project Manager	Office/Division/Branch	Telephone
Becky Menefee	OIS/IRSD/RFPSB	301-415-6968
Business Project Manager	Office/Division/Branch	Telephone
Becky Menefee	OIS/IRSD/RFPSB	301-415-6968
Technical Project Manager	Office/Division/Branch	Telephone
Russell Nichols	OIS/IRSD/RFPSB	301-415-6874
Executive Sponsor	Office/Division/Branch	Telephone
Thomas Boyce	OIS	301-415-0184

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)

PIA prepared to comply with the privacy provisions of the E-Government Act of 2002.

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

N/A

(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?

Individuals who submit FOIA or PA requests and caseworkers assigned to process the requests from NRC's FOIA/PA Team.

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

Last names only.

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

Yes.

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

Last name only.

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?

Yes

(a) If yes, indicate the OMB approval number: 3150-0043

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

Yes. The last name of the requestor is pulled from the FOIA or PA request submitted to the NRC. The caseworker is assigned by the FOIA/PA Team Leader. Both names are maintained as part of the official agency file.

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

No.

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

N/A

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

Verified as accurate by FOIA/PA Team staff

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

FOIA/PA requests are submitted to NRC in either paper or electronic form.

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

- Freedom of Information Act 5 U.S.C. 552
- Privacy Act 5 U.S.C. 552(a)
- 10 CFR Part 9

j. What is the purpose for collecting this information?

For statistical and historical purposes

2. **INFORMATION NOT ABOUT INDIVIDUALS**

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

Fee estimates, multi-track type, received date, closed date, perfected date of request, fee waiver request, final fees, requester type, subject, exemptions used, requested records page counts.

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

Information determined by members of the FOIA/PA Team during the processing of a FOIA/PA request.

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

To generate statistical data for annual reports, and to provide a FOIA/PA caseworker with historical 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 information.

To generate statistical data for annual reports and to provide the FOIA/PA caseworker with historical information

- 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?

Each FOIA/PA Team member accepts the responsibility of appropriately handling all information related to FOIA/PA requests.

- 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?

Hard copy of user's manual in T-5 F16.

- 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?

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 the information be *retrieved* from the system (be specific)?

Data retrieved by a DOS program generated report menu which allows the printing of the following reports: Case History Report, Cases Denied, Cases Referred, and the Annual Report.

- 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?

N/A

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

The individual reports described in Item 6 above, contain the case number, requester's last name, company affiliation (if relevant), caseworker's last name, subject, date received, date response due, date closed, fee information, exemption information, number of pages released, released in part, and withheld.

- a. What are the reports used for?

For annual reports and historical request information for caseworkers

- b. Who has access to these reports?

The Project Officer is the only FOIA/PA Team member with access to the FACTS system. However, this system has not been accessed for reports, statistical data, or historical information for more than one year.

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)?

Yes

- a. If yes, list the disposition schedule.

General Records Schedule 14, Item 13, FOIA Control Files

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

Yes

- a. If yes, list the disposition schedule.

General Records Schedule 14, Item 13, FOIA Control Files

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?

FOIA/PA Team under the Records and FOIA/Privacy Services Branch, Information and Records Services Division, Office of Information Services

- (1) For what purpose?

- a. To generate statistical data for annual reports, and
b. To provide the FOIA/PA caseworker with historical information.

- (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?

Each FOIA/PA Team member accepts the responsibility of appropriately handling all information related to FOIA/PA requests.

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

No

(1) If yes, where?

2. **EXTERNAL ACCESS**

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

No

(1) If yes, who.

N/A

- 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.

Access to FACTS is protected by user name and a self-assigned password.

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

No.

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

N/A

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

Project Manager

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

No

a. If yes, what will be collected?

N/A

5. Will contractors have access to the system?

No

a. If yes, for what purpose?

N/A

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

N/A

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

System Name: **FOIA Action Case Tracking System (FACTS)**

Submitting Office: **Office of Information Services (OIS)**

A. PRIVACY ACT APPLICABILITY REVIEW

Privacy Act is not applicable.

Privacy Act is applicable. Currently covered 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. 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:

FACTS does not contain information in identifiable form (information that directly or indirectly identifies an individual). Although the system maintains the last name of FOIA/PA requestors and caseworkers, no other information about the individual is maintained in the system, only information related to the processing of the request.

Reviewer's Name	Title	Date
Sandra S. Northern	Privacy Program Officer	April 10, 2008

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

No OMB clearance is needed.

OMB clearance is needed.

Currently has OMB Clearance. Clearance No. 3150-0043.

Comments:

The information collected (last name) is subject to the Paperwork Reduction Act and thus OMB approval. OMB has approved this collection and assigned it control number 3150-0043. This

information collection expires on October 31, 2008. The NRC is currently in the process of seeking approval for a renewal of this collection from OMB.

Reviewer's Name	Title	Date
Gregory Trussell	Information Collections Team Leader	April 15, 2008

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 14 applies as noted in section D.

Reviewer's Name	Title	Date
Tracy Clark	Records Management Analyst	April 7, 2008

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/
Russell A. Nichols, Acting Chief
Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services

Date: 04/16/2008

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

TO: Thomas Boyce, Director, Office of Information Services	
Name of System: FOIA Action Case Tracking System (FACTS)	
Date RFPSB received PIA for review: March 31, 2008	Date RFPSB completed PIA review: April 16, 2008
Noted Issues: Privacy Act not applicable. No personally identifiable information. General Records Schedule 14 applies to the information maintained in this system.	
Russell A. Nichols, Acting Chief Records and FOIA/Privacy Services Branch Office of Information Services	Signature/Date: <i>/RA/</i> 04/16/2008
<i>Copies of this PIA will be provided to:</i> <i>James C. Corbett, Director Business Process Improvement and Applications Division Office of Information Services</i> <i>Paul Ricketts Senior IT Security Officer (SITSO) FISMA Compliance and Oversight Team Computer Security Office</i>	