

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.)

Printing, Publication, Distribution Tracking System (PPDTS)

Date prepared by sponsoring office: 03/21/08

A. GENERAL SYSTEM INFORMATION

1. Provide brief description of the system:

The PPDTS maintains official mailing addresses for the NRC document distribution.

2. What agency function does it support?

The PPDTS supports agency information dissemination.

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

N/A

4. Points of Contact:

Project Manager	Office/Division/Branch	Telephone
Gene R. Wood	ADM/DAS/PMSB	301-415-2070
Business Project Manager	Office/Division/Branch	Telephone
Linda Schneider	ADM/DAS/PMSB	301-415-2070
Executive Sponsor	Office/Division/Branch	Telephone
Timothy Hagan	ADM	301-415-6222

5. Does this Privacy Impact Assessment (PIA) support a proposed new system or a proposed modification to an existing system?

Yes.

a. New System Modify Existing System Other (Explain)

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

No.

(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?

NRC Retirees and Licensees.

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

Individual's name and mailing address.

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

Yes

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

Name and mailing address

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?

N/A

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

N/A

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

Yes, some information is provided by NRC Program offices.

f. Is the information being collected from external sources?

Yes, some information is supplied by licensees.

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

The Office of Administration (ADM) sends a survey to those on the mailing lists requesting verification of mailing address and continued interest in receiving documents.

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

Form

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

N/A

j. What is the purpose for collecting this information?

Distribution of agency correspondence, publications, and documents to retirees and licensees.

2. **INFORMATION NOT ABOUT INDIVIDUALS**

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

Company name

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

NRC Program office or licensees

c. What is the purpose for collecting this information?

Distribution of agency correspondence and publications.

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.

Mailing labels for agency publications and 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?

Project officer and staff authorized to use system.

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

No.

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

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)?

Mail distribution code, name of company, name of individual.

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.

N/A.

a. What are the reports used for?

b. Who has access to these reports?

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.

GRS 13.4

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?

Office of Administration's Printing and Mail Services Branch (ADM/PMSB)

- (1) For what purpose?

Produce mailing labels.

- (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?

Only those PMSB staff with a need to know have access to this data and the system is password protected. Of those granted access even fewer have system privileges to update/change the content. These "rights" to the system are controlled by the Systems Administrator.

- 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.

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

N/A

c. How will this information be transmitted or disclosed?

N/A

F. TECHNICAL ACCESS AND SECURITY

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

Proxy rights with 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?

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

PMSB staff with need-to-know only.

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

No.

a. If yes, what will be collected?

5. Will contractors have access to the system?

No.

a. If yes, for what purpose?

- 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?

Limited access and annual training (review of procedures and MD 3.2 "Privacy Act".)

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

No.

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

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

System Name: Printing, Publications, Distribution Tracking System (PPDTS)

Submitting Office: Office of Administration

A. PRIVACY ACT APPLICABILITY REVIEW

Privacy Act is not applicable.

Privacy Act is applicable. See comments.

Comments:

The PPDTS is maintained under NRC's Privacy Act system of records NRC-38, "Mailing Lists."

This system may contain personally identifiable information (when distribution lists include an individual's name and home address.)

Reviewer's Name	Title	Date
Sandra S. Northern	Privacy Program Officer	May 6, 2008

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

No OMB clearance is needed.

OMB clearance is needed.

Currently has OMB Clearance. Clearance No. _____

Comments:

Reviewer's Name	Title	Date
Gregory Trussell	Team Leader- ICT	May 2, 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:

These records are covered in the General Records Schedule 13, item 4.

Reviewer's Name	Title	Date
Tracy L. Clark	Records Management Analyst	4/25/08

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/
Margaret A. Janney, Chief
Records and FOIA/Privacy Services Branch
Information and Records Services Division
Office of Information Services

Date: 05/06/2008

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

TO: Timothy F. Hagan, Director, Office of Administration	
Name of System: Printing, Publications, Distribution Tracking System (PPDTS)	
Date RFPSB received PIA for review: April 23, 2008	Date RFPSB completed PIA review: May 6, 2008
<p>Noted Issues:</p> <p>The PPDTS is maintained as part of NRC's Privacy Act system of records NRC-38, "Mailing Lists."</p> <p>This system may contain personally identifiable information (when distribution lists include an individual's name and home address.)</p> <p>No information collection issues.</p> <p>Records disposition should be in accordance with General Records Schedule 13, Item 4.</p>	
Margaret A. Janney, Chief Records and FOIA/Privacy Services Branch Information and Records Services Division Office of Information Services	Signature/Date: <i>/RA/ 05/06/2008</i>
<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>Paul Ricketts Senior IT Security Officer (SITSO) FISMA Compliance and Oversight Team Computer Security Office</i></p>	