

U.S. Nuclear Regulatory Commission

Updated

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.)

Financial Accounting and Integrated Management Information System (FAIMIS)

Date: May 19, 2009

A. GENERAL SYSTEM INFORMATION

1. Provide brief description of the system:

The new Financial Accounting and Integrated Management Information System (FAIMIS) will replace the existing core accounting system and Federal Financial System (FFS). FAIMIS will be hosted by the Department of the Interior (DOI), National Business Center (NBC) through a cross-service agreement. FAIMIS will be a server based system with web user access that complies with Federal systems standards and security requirements for major financial systems. FAIMIS intends to fulfill the functions currently supported by the Allotment/Allowance Financial Plan System (AAFP), the Capitalized Property System, the Cost Accounting System (CAS), and the multiple applications comprising the Fee Billing System (FEES). FAIMIS will provide functionality for budget execution and funds control, general ledger, accounts payable, accounts receivable, travel, fixed assets, internal and external reporting, and cost accounting. FAIMIS will provide a reporting and querying capability directly to end-user's desktops that will facilitate financial analysis of agency programs, activities, and projects.

FAIMIS will be the central repository for all NRC financial transactions and data. Data elements comprising the NRC accounting structure for budget execution and funds control, proprietary accounting, labor reporting, and cost accumulation will be established in the FAIMIS. The agency Budget Formulation System (BFS) and Time & Labor (T&L) will be integrated with the FAIMIS to facilitate data exchange between the applications. The Federal Personnel Payroll System (FPPS) at DOI/NBC will feed payroll cost data to the FAIMIS through a direct interface. Information technology (IT) applications external to the Office of the Chief Financial Officer (OCFO) may interface with the FAIMIS in order to access agency financial data, which will include the Reactor Program System (RPS),

Web-based Licensing (WBL), License Tracking System (LTS), e-Travel application, and Web-based U. S. Treasury applications.

2. What agency function does it support?

The FAIMIS will be the NRC core financial management system that will support all financial functions and provide agency compliance with Federal proprietary and budgetary accounting and financial reporting requirements. The FAIMIS will also perform license fee billing and collection, cost accounting, funds control, and capitalized property.

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

The FAIMIS will consist of a number of subsystems/modules designed to perform specific operational and management functions. Integrated components will include:

- Accounts Payable
- Accounts Receivable
- Budget Execution
- Cost Management
- External Reporting
- Fixed Assets
- Internal Reports and Queries
- General Ledger
- General Systems
- Purchasing
- System Security

4. Points of Contact:

Project Manager	Office/Division/Branch	Telephone
Dofat, Randell	OCFO/FSDS	301-415-7509
Business Program Manager	Office/Division/Branch	Telephone
Rheaume, Cynthia	OCFO/DOC	301-416-7379
Functional Project Manager	Office/Division/Branch	Telephone
Fredericks, Carl	OCFO/FSDS	301-415-6285
Executive Sponsor	Office/Division/Branch	Telephone
Brown, Milton	OCFO	301-415-7501

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)

This is an update to the July 1, 2008 FAIMIS PIA. The FAIMIS is a new system that replaces an existing system to be maintained and operated by a third party Federal Shared Service Provider (SSP), the NBC.

FAIMIS PIA: ML072350405, July 1, 2008

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 collect 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 include Federal employees, Federal contractors, commercial vendors, invitational travel recipients, and licensees.

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

The FAIMIS will maintain names, taxpayer identification numbers (TIN), Social Security numbers (SSN), addresses, and bank account/routing numbers.

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

Yes

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

Name, TIN, SSN, address, and bank account/routing number.

- 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:

The OMB approval number is 3150-0188.

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.

Information for employees will be collected from the T&L system. Information for invitational travel recipients will be collected from the e-Travel system. Licensee information will be collected from the LTS.

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

Yes

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

Vendor information (billing information, addresses, and TIN) will be collected from the federal Central Contractor Registration (CCR) database.

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

The information from interfacing systems is validated by the source system. Vendor information will be refreshed and updated through an interface with the CCR, and notification from vendors.

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

For interfacing systems, the information will be collected by forms, file transfer, and electronic data interchange. The FAIMIS will collect this information from the interfacing systems, CCR, IRS Form W-9, e-mail, and telephone communication.

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

Section 6109 of IRS Tax Code and the Debt Collection Improvement Act authorizes the NRC to collect information on individuals, vendors, and licensees.

j. What is the purpose for collecting this information?

- Issue payments to individuals and contractors for goods and

- services received, travel, and payroll.
- Bill and collect nuclear regulatory fees, indemnity fees, civil penalties, and other miscellaneous fees and charges.
- Bill and collect for reimbursable work performed by the NRC.
- The IRS requires 1099 forms sent to vendors that are annually paid \$600 or more. Complete TIN information is required for this process.
- Office of Personnel Management retirement and personnel requirements.

2. INFORMATION NOT ABOUT INDIVIDUALS

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

The FAIMIS will maintain budgetary funds control and proprietary accounting information pertinent to the agency and information about accounts payable, accounts receivable, fixed assets, license fee classifications, the budgetary and accounting code structure, project codes, vendors and debtors, organization codes (agency departments), and reimbursable agreements.

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

The information is collected from both internal and external sources as stated in B.1.e. and B.1.f. Internal sources are financial and procurement documents produced in the course of conducting NRC business and programs. External sources are documents from vendors and licensees conducting business with the NRC. External sources also include funding and authorizing documents from oversight agencies such as the U.S. Treasury and the Office of Management and Budget (OMB).

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

To comply with Federal laws and regulations for financial and proprietary accounting and control, account for NRC budgetary resources, and to facilitate the account payable, account receivable, fixed asset, travel, and financial reporting processes.

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 information will be used to account for agency budgetary resources; accomplish proprietary accounting; and manage programs, activities, and projects. To pay invoices for goods and services received, bill and collect fees, manage vendor and licensee data, perform general ledger accounting and

financial reporting.

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 OCFO in close coordination with the Federal SSP, DOI/NBC, will be responsible for overall operations and management of the system. Operational configuration and security controls for FAIMIS will be set to limit access to information based upon the “need to know” and “least access” concepts.

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

Yes, FAIMIS data elements will be fully documented during the development and configuration of the system.

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

The data dictionary based upon the final configuration of the data elements will be obtained from the SSP and user guides will be developed prior to implementation. The OCFO and the SSP will maintain this information electronically, in hard copy, and on disk.

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)?

The FAIMIS will provide a reporting/query desktop tool for end-users to access real-time data directly against the data source. Information will also be retrieved online by viewing the appropriate table/form. The end-user's profile and security configuration will limit user access to information.

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.

The FAIMIS will provide reports and desktop query capability to track and report financial, budgetary, and proprietary information concerning the programs and business conducted by the NRC. The FAIMIS will also provide a tool to allow authorized users to develop reports and export data as needed to conduct business.

a. What are the reports used for?

Reports and data queries will be needed to execute and manage the programs and business of the NRC. They will also be used to comply with Federal laws and regulations including external reporting requirements.

b. Who has access to these reports?

Users from each organization will have access to view the status of their budgetary resources, programs, activities, and projects. Access restrictions will be based on predefined user roles based on position, duties, and information needs. Access will be approved by the user's supervisor and the FAIMIS System Administrator. The FAIMIS reporting/query tool will allow users to develop and run their own reports and queries limited by their original access.

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 (either under the General Records Schedule or NRC-specific) for this system been approved by the National Archives and Records Administration?

Yes.

a. If yes, list the schedule number and approved disposition.

Financial data is scheduled under GRS 6-1a which has a disposition of "Destroy 6 years and 3 months after the period covered by account." **However**, data that is related directly to payroll/retirement/tax data has

varying retention periods, some of which are longer than 6 years and 3 months. Ongoing work with DOI, OCFO, OIS (Records and Archives Services Section), and the National Archives and Records Administration will be required to determine an appropriate retention for this data.

2. If you answered “No” to question D.1, complete the following section.
- a. Does the information in the system:
- | | | |
|---|-----|----|
| Have historical value? | YES | NO |
| Document NRC business decisions? | YES | NO |
| Contain data used to make a judgment or conclusion? | YES | NO |
| Provide statute or required regulatory information? | YES | NO |
- b. What is the value of the information to your organization and the Agency?
- (1) When will it no longer be needed?
- c. How will information, no longer required for current business operations, be maintained?
- (1) Will it be separated from currently active information?
- d. Does this electronic information system replace a previously “paper-based” information file system?
- (1) If so, which files?

E. ACCESS TO DATA

1. INTERNAL ACCESS

- a. What organizations (offices) will have access to the information in the system?

All NRC offices will have staff assigned as FAIMIS users.

- (1) For what purpose?

These offices will have access to enter financial transactions in the system and query the system to conduct business, manage their budgetary resources, and meet proprietary accounting needs.

- (2) Will access be limited?

Yes, user accounts will be established based on transaction

processing and information access needs. User profiles and access will be approved by the immediate supervisor and the FAIMIS System Administrator.

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

Yes

- c. How will information be transmitted or disclosed?

The FAIMIS will be the central repository for agency financial information and offices will be required to access the FAIMIS directly to retrieve this data. For interfacing systems, the information will be transmitted by file transfer and electronic data interchange.

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

End-users will have established login credentials to access information. These login credentials will restrict the user to only having access to information and data for which they have been previously authorized.

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

Yes, the FAIMIS will have documented procedures and controls regarding access. This information will be developed during the configuration of the new system.

- (1) If yes, where?

The following types of documentation regarding criteria, procedures, controls, and responsibilities for information access will be maintained by the FAIMIS System Administrator:

- FAIMIS Registration Form
- FAIMIS Security Profile Descriptions
- FAIMIS Rules of Behavior
- FSOT Desktop Procedures User IDs
- FAIMIS Login Procedures

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.

The following security controls are in place for the existing core accounting system. The new FAIMIS will have these same controls and any additional controls developed during the implementation phase:

- Application level access forms will be completed (signed) and sent to the SSP.
- The establishment of a new user account will be approved by FSOT upon receipt of a supervisor approved application form.
- The end-user will be required to have a security clearance.
- The end-user will be required to sign the Rules of Behavior.
- User access levels will be determined based on the user's organization profile.
- The system will be secured with the appropriate password protection.

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

Yes, the system will be accessed from headquarters offices and from four regional offices.

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

Through the use of the agency's LAN/WAN and a standard dedicated telecommunications line.

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

Pre-defined user groups will be established for the FAIMIS and all groups will 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?

Audit logs and system access records are part of Federal Financial Management System requirements. These requirements have been incorporated into the FAIMIS System Requirements Specification (SRS) document as part of the FAIMIS business case. The new FAIMIS solution will capture a record of the User ID with a time and date stamp, table/form or transaction accessed, and action taken. The FAIMIS will also maintain a record of any batch, report, or interface job run.

5. Will contractors have access to the system?

Yes

- a. If yes, for what purpose?

Contractors will have access to perform data entry regarding payment vouchers and other invoices scheduled and paid; audit financial statements (limited inquiry only); assist with systems projects, etc.

We will ensure that the following Federal Acquisition Regulation (FAR) clauses are referenced in all contracts/agreements/purchase orders 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?

The following security controls exist for the current core accounting system. At a minimum, the new FAIMIS will have these same controls as well as any additional controls developed during the system configuration:

- Application-level access forms will be completed (signed) and sent to the SSP.
- User access levels will be determined based on the user's organization profile.
- Predefined user profiles will be established to provide assurance of separation of duties.
- System will be secured with password protection.
- Only users with appropriate access levels will be able to edit reference data (establishing budgetary and accounting codes and job codes).
- Establishing a new budgetary and accounting code will require

- approval from the OCFO/DPBA.
- Daily, monthly, and end-of-cycle Q/A checks will be developed and put in place.
- A process for system change requests will be in place to maintain documentation of changes.

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

The SSP will perform a Certification and Accreditation (C&A) of the system and the NRC will request an ATO for the new FAIMIS.

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

The C&A will be performed after configuring and testing the system and an ATO will be obtained prior to the operation of the FAIMIS.

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

System Name: Financial Accounting and Integrated Management Information System (FAIMIS)

Submitting Office: Office of the Chief Financial Officer

A. PRIVACY ACT APPLICABILITY REVIEW

Privacy Act is not applicable.

Privacy Act is applicable.

Comments:

FAIMIS will contain personally identifiable information. As the NRC's core financial management system, FAIMIS will operate under NRC's Privacy Act system of records NRC-32, "Office of the Chief Financial Officer Financial Transactions and Debt Collection Management Records." The system notice can be access at <http://www.nrc.gov/reading-rm/foia/privacy-systems.html>.

Reviewer's Name	Title	Date
Sandra S. Northern	Privacy Act Program Analyst	June 11, 2009

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

No OMB clearance is needed.

OMB clearance is needed.

Currently has OMB Clearance. Clearance No. 3150-0188

Comments:

The information collected from the public for this system has been approved by OMB and assigned the above OMB Clearance Number 3150-0188, Request for Taxpayer Identification Number.

Reviewer's Name	Title	Date
Tremaine Donnell	Information Collections Team, Acting Team Leader	June 11, 2009

C. RECORDS RETENTION AND DISPOSAL SCHEDULE DETERMINATION

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

To: Milton Brown, Deputy Chief Financial Officer	
Name of System: Financial Accounting and Integrated Management Information System (FAIMIS)	
Date RFPSB received PIA for review: May 28, 2009	Date RFPSB completed PIA review: June 17, 2009
<p>Noted Issues:</p> <p>FAIMIS will contain personally identifiable information.</p> <p>FAIMIS will maintain records subject to the Privacy Act.</p> <p>No information collection issues.</p> <p>Ongoing work with DOI, OCFO, OIS (Records and Archives Services Section), and the National Archives and Records Administration (NARA) will be required to determine an appropriate retention for this data. This does not preclude certification of the system as long as retention functionality is addressed as part of the requirements and the data does not get destroyed until a retention disposition schedule has been approved by the NARA.</p>	
Russell A. Nichols, Chief Records and FOIA/Privacy Services Branch Information and Records Services Division Office of Information Services	Signature/Date: /RA/ 06/17/2009
<p><i>Copies of this PIA will be provided to:</i></p> <p><i>James Shields, Acting 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>	