

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.

Agencywide Documents Access and Management System Enterprise Architecture Number: 9501

Date: February 23, 2015

A. GENERAL SYSTEM INFORMATION

1. Provide a detailed description of the system:

The Agencywide Documents Access and Management System (ADAMS) is the NRC's official records management repository for unclassified records. ADAMS is used to organize, process, and manage official agency records (OARs) and non-record reference material (NRRM), which includes works in progress, drafts, and other non-OAR documentation. ADAMS is the official records repository for unclassified records and is integrated into many of the agency's mission-critical standard operating procedures and records management process.

ADAMS provides the following capabilities:

- document management (intake, classification, and retention)
- document publishing
- document search and retrieval
- records management

2. What agency function does it support?

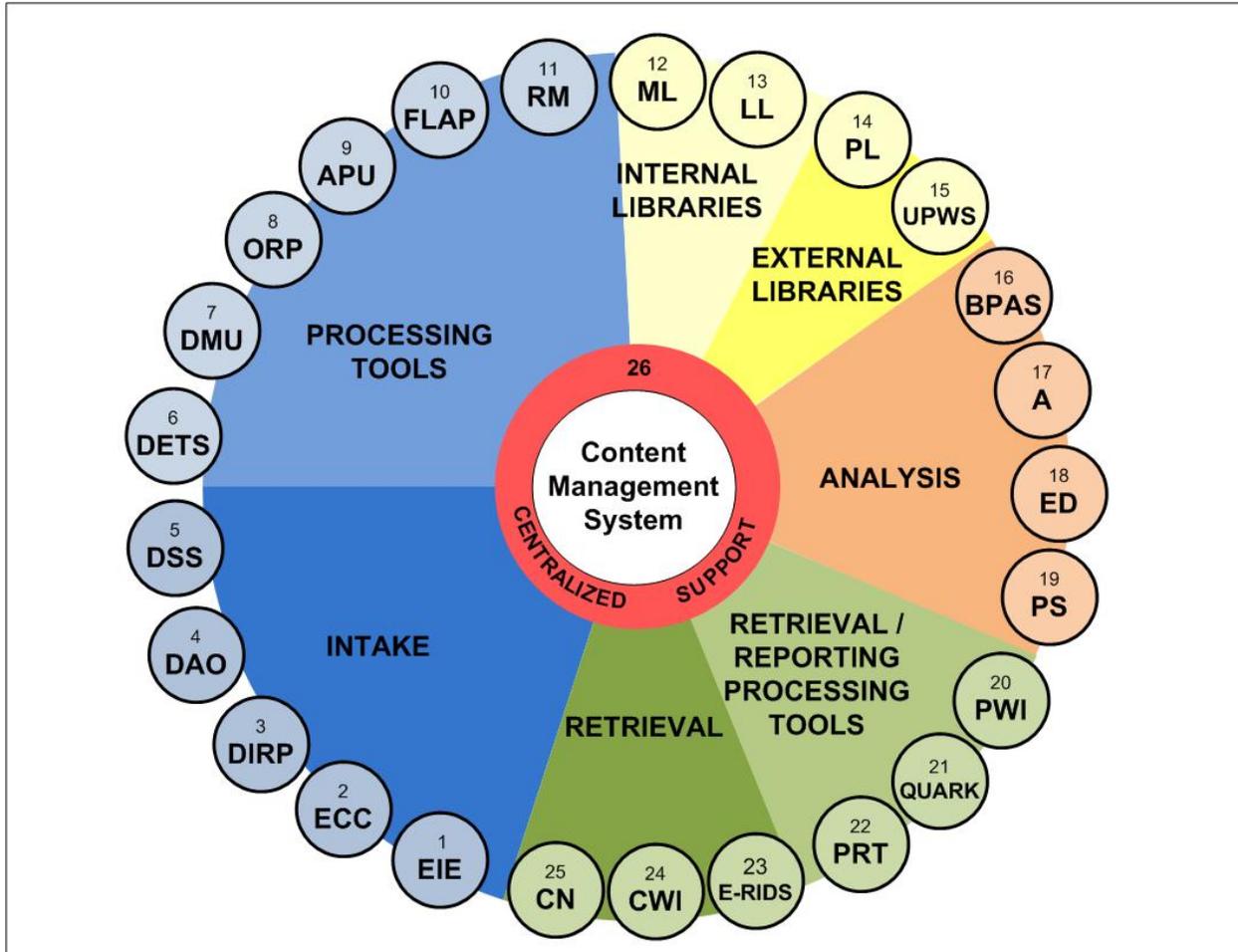
ADAMS supports NRC's content management function: document capture, distribution, search and retrieval, and records management. ADAMS is the official records repository for unclassified records and is tightly integrated into many of NRC's mission critical standard operating procedures and records management processes.

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

ADAMS consists of 24 core components, which are grouped into eight segments. ADAMS components provide support to the agency for document and records management, and image processing.

Figure 1, ADAMS Context Diagram, details the various components that constitute the current ADAMS production system.

Figure 1 – ADAMS Context Diagram¹



The components listed below correspond to Figure 1, ADAMS Context Diagram.

Intake Components

1. Electronic Information Exchange (EIE) System

EIE is an automated intake system owned by the Office of Information Services (OIS) / Solutions Delivery Division (SDD). EIE provides a means for participants in adjudicatory proceedings and general users making regulatory filings to electronically submit documents to the agency where they can be further processed by the Auto-Population utility (AutoPop; see AutoPop information below) for addition to ADAMS.

¹ Source: ADAMS SSP v1.32, dated February 11, 2015

2. Email and Comment Capture (ECC) Systems

ECC systems are automated intake systems that enable NRC staff to add email and their attachments to ADAMS (IBM Content Collector).

3. Document Intake & Review Platform (DIRP)

DIRP is an automated intake system that allows licensee applicants to electronically submit Combined Operating License Applications (COLAs) to the NRC to enable ADAMS system staff to add the content to ADAMS.

4. Desktop Add-Ons (DAO)

DAOs are applications that are integrated into NRC desktop and laptop operating systems and other software, such as Microsoft Office, so that NRC employees and contractors may add documents to the ADAMS Main Library (ML) using their desktop computers.

Note: The NRC workstations and laptops referenced above are part of Information Technology Infrastructure (ITI)'s Common Computing System (CCS).

5. Document Processing Center (DPC) Scan Services (DSS)

DPC staff use optical scanners to scan hard copy material submitted by users into portable document format (PDF) and upload them into ADAMS. The optical scanners are located at DPC in the basement of the One White Flint North (OWFN) building. Profile information is contained in NRC Form 665S that accompanies the submissions.

Processing Tools

6. Data Error/Tracking Ticket System (DETS)

DETS is a workflow application that DPC personnel use to track and manage the progress of documents being added to ADAMS.

7. Document Management Utilities (DMU)

DMU is a group of utility programs that are used by personnel performing centralized support functions (see centralized support information below) to perform privileged administrative/management actions on ADAMS metadata.

8. Official Records Processor (ORP)

ORP is an application that performs certain functions to convert *draft* class documents to OARs. The ORP performs functions such as:

- saving *draft* document files into PDF format;

- changing the ownership of the *draft* document to the Records Manager group;
- deleting earlier versions of the *draft* document except for the last native file version, the PDF version of the content, and any version marked “Permanent”; and
- staging publicly available content for replication to ADAMS’s Publicly Available Records System (PARS; see PARS and UPWS information below).

9. Auto-Profiler Utilities (APUs)

APUs are a collection of processing services that take content from intake applications and create records that are added to the ADAMS ML.

These utilities include:

- The EIE AutoPop Utility – AutoPop scans a folder on the EIE file system and adds new documents deposited there from EIE to ADAMS. AutoPop then returns an ADAMS ML accession number back to EIE.
- The Adjudicatory Licensing Board Panel (ASLBP) Post Filer (Post Filer) – The Post Filer scans a folder on the ADAMS AutoPop server and adds new documents deposited there from ASLBP (using an NRC laptop) to ADAMS.
- The DPC Auto Add Utility (Auto Add) – Auto Add uploads documents to ADAMS that were created by DSS optical scanners and files them in designated folders.

10. Folder Level Automatic Profiling (FLAP)

FLAP was an automated process that applied selected profile values to all contents of a designated ADAMS folder; FLAP was typically used to apply profile information to *draft* class documents submitted via ECC (see Email and Comment Capture information above). Its use has been discontinued.

11. Records Management (RM)

The Records Management processing tool uses multiple tools from the IBM Information Lifecycle Governance suite of products. The tool sets consist of IBM Classification Module (ICM) which classifies the records, and IBM Enterprise Records (IER) which manages and controls NRC records according to 36 CFR and NARA mandated records management practices. IER manages the lifecycle and disposition of records using the IER Distribution Sweep Utility (DSU) within IER, which processes the records according to the assigned disposition schedule and workflow. Using these tools, automated records management provides an automated workflow to create and aggregate documents in ADAMS RM from the specified multiple OARs in the ADAMS Main Library.

Internal Libraries

12. ADAMS Main Library (ADAMS ML)

ADAMS ML is the agency's main document repository; it contains both OARs and NRRM.

13. ADAMS Legacy Library (ADAMS LL)

ADAMS LL contains more than 2.5 million bibliographic citation records describing the NRC's programmatic documents dated prior to November 1, 1999. These citation records were originally maintained and available in the agency's Nuclear Documents System (NUDOCS); publicly available information was maintained and available in the Bibliographic Retrieval System (BRS).

External Libraries

14. Public Library (PL)

The Public Library consists of PARS and the Public Legacy Library (PLL).

- PARS includes publicly available documents replicated from the ADAMS ML.
- The PLL contains approximately 2 million records from the ADAMS LL that were made available to the Public. Many of the documents in the PLL are not available online in full-text. The properties of these records contain a microform address that NRC staff members can locate in an agency microfiche collection throughout the headquarters buildings. There are only a small number (approximately 150,000) of full-text or abstract files associated with these records.

15. Unified Public Web Search (UPWS)

UPWS is a publicly-visible data store on the NRC Public Website that contains copies of all documents and packages from PARS. The copied documents are available for browsing using external search engines and crawlers. Users complete the NRC search form that appears in the banner at the top of each Web page on the NRC Public Website to search for publicly available documents and packages. Search results yield a single, integrated list of content (including existing Web pages) from PARS that match the search criteria.

Analysis Components

16. Business Process Automation Stack (BPAS)

BPAS is a suite of tools that is comprised of the following components; 1) IBM Business Process Manager, 2) IBM Case Manager, and 3) a User Interface that provides the infrastructure for creating, tracking, and managing the workflow of a collection of documents related to a particular matter or "case". Workflows built

using BPAS include the SECY System of Tracking and Reporting (SECY STARS), EDO System of Tracking and Reporting (EDO STARS), Agency Lessons Learned System (ALLS) Public Meeting Notice System (PMNS), NUREG -0933 Composite Authoring and Publishing, Document Tracking System (DTS) (Work in progress) and Review Management System (RMS) (work in progress)

17. Analytics (A)

IBM Watson Analytics (WCA) is a tool used to process unstructured, textual content so that it can be discovered, searched, and analyzed. WCA is commonly used to identify patterns, view trends over time, and reveal unusual correlations or anomalies in order to improve business processes and results of operations.

18. Electronic Discovery (ED)

The eDiscovery Manager and eDiscovery Analyzer suite of tools will enable authorized staff to search, cull, hold and export case-relevant content for more cost-effective discovery processes. The eDiscovery Analyzer provides first-pass review and conceptual search and analysis of the cases created. The software also supports disclosure requests by facilitating early case assessment, preparation for conference discussions, and improved case strategy to help mitigate legal risks.

19. Power Search (PS)

This is an advanced ADAMS Main Library search feature that is tightly integrated with Content Navigator and provides the following additional functionality:

- Number of items brought back by a search.
- Ability to do a search within a search.
- Facet trees modeled after ADAMS metadata to more quickly analyze searches.
- Dynamic Facet charting that allows visualization of the number of documents available for certain criteria.
- Query Builder to build custom searches

Retrieval/Reporting Processing Tools

20. Publishing Web Interface (PWI)

PWI is an application used by publishers to make a copy of public OARs from the ADAMS ML and store them in public content repositories using filing schemas appropriate to the various user groups accessing the repositories.

- Publishing to the Public Library – This schema allows PARS publishers (i.e., SECY, OGC, and ADAMS Information Management [IM]) to review, categorize, and release content for publishing to appropriate repositories within the ADAMS Public Library (see Public Library information above) and

allows SECY to publish adjudicatory documents to the public Electronic Hearing Docket (EHD) for public Web review and search (see UPWS information above).

- Publishing to UPWS – This schema consists of copying PARS data to the UPWS so that it may be accessed by the Public using readily-available Web browsing tools.

21. Quark Composite XML Author Tool (Quark)

Quark is an authoring tool (i.e., content creator) used to assemble topics from an ADAMS object store into a composite document for publication.

22. Public Release Timeliness Report (PRT)

PRT is a performance report generated from ADAMS data that compares the timely release of publically available documents against agency goals. The purpose of the PRT report is to inform offices of their efficiency in releasing ADAMS documents to the Public during a defined period of time and specifically identifies (by accession number) documents that were not released to the Public within the time-frame specified under NRC agency policy.

Retrieval

23. Electronic Regulatory Information Distribution System (E-RIDS)

E-RIDS is a database of mailing/service list contact information of users who are notified via email of changes to specified ADAMS content.

24. Common Web Interface (CWI)

CWI is a standardized, generally consumable, user interface allowing users to browse, search, identify, and access published documents and metadata in PARS.

- Web Based ADAMS (WBA) – WBA is a Web-based interface and search tool (replacement of the Public Interface Portal [PIP] and ADAMS PUBLIC) used by the Public to search for, view, and retrieve the NRC public documents stored in PARS (see Publishing to the Public Library information above).
- Electronic Hearing Docket (EHD) – EHD is a Web-based interface and search tool used by adjudicatory participants to search, view, and retrieve public adjudicatory documents that have been published to PARS. EHD documents are stored in a standard folder format designed by SECY to facilitate review and retrieval (see Publishing to the Public Library information above).

25. Content Navigator (CN)

CN is an internal Web client that is accessed through NRC workstations used for managed access (i.e., browse, search, create favorites, edit, add, and

organize folders and team-spaces) to multiple content management repositories. As previously stated, the NRC workstations are part of ITI's CCS and are not components of ADAMS.

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

44 U.S.C. Chapter 31; 44 U.S.C. Chapter 33; 36 CFR Subpart B.

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

A portion of the vast amounts of programmatic and administrative documents that are added to ADAMS may contain information about an individual. The NRC staff collects programmatic and administrative information to facilitate the activities to conduct the NRC's day-to-day business. The NRC staff also collects this information to facilitate the records lifecycle management process and to comply with the regulations governing Federal records management. The licensing, technical, and adjudicatory information stored in ADAMS supports the NRC's mission.

6. Points of Contact:

The ADAMS points of contact may be accessed using the following link:

Project Manager	Office/Division/Branch	Telephone
Gary Young	OIS/SDD/ESB	301-415-7104
Mark Evans	OIS/SDD/ESB	301-415-8447
Roy Choudhury	OIS/SDD/ESB	301-415-7226
Ed Madden	OIS/SDD/ESB	301-415-1362
Mike Morrow	OIS/SDD/ESB	301-415-1208
Natalya Bobryakova	OIS/SDD/ESB	301-415-7541
James Watson-Jones	OIS/SDD/ESB	301-415-2927
Business Project Manager	Office/Division/Branch	Telephone
KG Golshan	OIS/SDD/ESB	301-415-5016
Executive Sponsor	Office/Division/Branch	Telephone
Cynthia Rheame	OIS/PMPD	301-415-6538

Additional points of contact can be found using the ML below.
[ADAMS Contact List ML13343A122](#)

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)

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

Yes

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

08/18/2010 ADAMS accession number is ML102220607

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

Updated to reflect current technologies, descriptions of subsystems, and points of contact for the system.

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).

Yes, information about an individual (e.g. Federal employee, contractor, licensee employee, general public) may be maintained in ADAMS if information about an individual is included as part of a document that is added into ADAMS.

Information related to the workplace such as an employee's name, title, work telephone number, official work address/location, and work e-mail address is not treated as personally identifiable information (PII) by NRC. Additionally, NRC's Office of General Counsel has advised that home addresses, home phone numbers, or home e-mail addresses within adjudicatory filings, documents associated with agency rulemakings, and correspondence received from the public on regulatory matters will not be treated as PII.

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

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

The content of a document that is added to ADAMS may include any type of information about an individual, but is normally workplace-related or business-related information.

It is not the agency's policy or practice to make documents identified as containing PII available to the public. In cases where such a document must be made public, the PII is redacted and the redacted version is made public; the original remains non-public. Internal access to documents containing PII is also restricted to those with a need to know.

c. Is information being collected from the subject individual?

No, ADAMS does not directly collect information from an individual. Information placed into ADAMS is collected or generated by the NRC through other means in response to adjudicatory filings, rulemakings, or other regulatory matters.

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

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?

The NRC currently has OMB clearances in place, as required by the Paperwork Reduction Act of 1995, for any documents containing an information collection request to 10 or more members of the public.

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

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

Yes.

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

Internal sources of information, which may contain PII, include:

- Electronic files generated by the NRC staff in various formats (e.g., text, images, graphics, spreadsheets, or any combination of these formats)
- E-Mail from the NRC e-mail system

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?

External sources, whose submissions may contain PII, include:

- NRC Licensees and Applicants
- Parties to NRC Adjudicatory proceedings
- Nuclear Industry organizations
- Members of Congress
- Other Federal Agencies
- Agreement States
- Local governments
- Members of the public commenting on NRC regulations and publications
- Foreign governments and international organizations

The methods used include:

- Electronic Information Exchange (EIE) submissions
- Paper documents (scanned into ADAMS)
- CD-ROM Submissions
- E-Mail and Facsimile (Fax) Submissions

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

The NRC rulemaking “Electronic Maintenance and Submission of Information” (E-Rule) and its accompanying regulatory document, “Guidance for Electronic Submissions to the NRC” govern the electronic submission, including fax submissions, of documents to the NRC, ML032580290.

The DPC evaluates the EIE and CD-ROM submittals against the criteria specified in the electronic submission guidance document and process the document(s) that meet its criteria into ADAMS. Documents that do not meet one or more of the guidance document criteria will not be processed into ADAMS. The DPC will forward these submittals to the submitter and/or the appropriate NRC office staff in order to resolve the issue and obtain a submittal that can be processed into ADAMS. The owners of internal information are responsible for accuracy and completeness of the information added to ADAMS.

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

The information is added into ADAMS via electronic data transfer mechanisms that is built into the various ADAMS components. Please see ADAMS Intake Components described in Section A of this document.

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).

With limited exceptions, the OARs stored in ADAMS, both programmatic and administrative, are related to the following:

- NRC policy, direction, and oversight activities
- Nuclear reactor licensing, operation, safety, research, and inspection and enforcement activities
- Radioactive waste licensing, operation, safety, research, and inspection and enforcement activities
- Nuclear materials licensing, safety, research, and inspection and enforcement activities
- Accounting case and subject files, budget records, license fee case files, contract case files, Department of Energy work orders, interagency agreements, and other related records
- Information resources management activities
- Facility and property management activities
- Records of the Office of the General Counsel, Office of the Secretary, ASLBP, and Office of Commission Appellate Adjudication.
- Records of the Offices of Congressional Affairs, International Programs, State Programs, Public Affairs, and Regional Public Affairs Offices

ADAMS contains the bibliographic descriptions of the programmatic records dated prior to November 1, 1999, which were originally maintained in NUDOCS and the Public Document Room's BRS.

ADAMS public libraries, PARS and PLL, contain the publicly available data copied from ML and LL.

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

The information stored in ADAMS originates from both internal and external sources. The internal sources consist of the NRC staff and contractors. The external sources are comprised of licensees, members of the general public, and other government agencies.

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 information stored in ADAMS is used by the NRC internal users to conduct the Agency's day-to-day business activities. The publicly available information is used by external users searching the Agency's policies, regulations, and material related to NRC licensing activities.

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?

ADAMS employs a role-based access control mechanism that allows content owners to determine who will have access to content and the level of that access (create, read, update, delete).

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

Yes. Every document in ADAMS has a Document Profile that stores information about the document (e.g., author, title, docket number, public availability, etc.). The required, and some optional, property fields are populated by the document owner and fully completed by the DPC staff when the document is declared as an OAR.

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

The list of the ADAMS Document Profile Properties is located in ADAMS P8 Workplace XT User Manual, which is available on the ADAMS home page on the internal NRC website (*Manuals and Tools* under the *Resources* tab) and can be accessed at this link:

[ADAMS User Manual](#)

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.)

ADAMS employs search tools that allow retrieval of the content of documents, as well as the metadata from the document profiles.

Search criteria includes: document date, accession number, docket number, document type, case or reference number, title, document text, author name.

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

ADAMS support tools are capable of generating the following administrative reports:

- ADAMS Sensitive Unclassified Non-Safeguards Information (SUNSI) Reviewer Reports - list of the documents with a date in the SUNSI Review Date property and the Document Sensitivity value other than “Sensitive-Internal-Periodic Review Required” or “Sensitive-Security-Related-Periodic Review Required”
- ADAMS Admin Reports - list by office of user group membership
- Main-PARS Differences – list of differences between ML and PARS at the folder, document, or property level
- Public Release Timeliness Report – list by office of internal and/or external documents and their timeline to public release
- E-RIDS – list of the routing and distribution codes

The ADAMS public web applications provide the built-in user reports to allow the public users to save their document search results, including document profile data.

a. What are the reports used for?

The administrative reports are used for monitoring and managing functions. The user reports are used by the public users to save their search results.

b. Who has access to these reports?

Access to administrative reports is available only to the NRC staff and is based upon user role and access control list. The internal and external users have access to different sets of user reports based on a search library.

D. ACCESS TO DATA

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

All NRC offices may have access to the information in ADAMS.

(1) For what purpose?

The content supports business processes and knowledge discovery.

(2) Will access be limited?

Yes, access is dependent upon a user’s role(s) and need-to-know. A document owner determines who will have access to the document and the level of that access (e.g., None, Viewer, Author, Owner, and Admin), and can restrict access to specific individuals and/or user groups.

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).

Reactor Program System (RPS): PMNS requires read-only access to the DOCKET table in the RPS database to retrieve the Docket Number data (DocketNo, DocketType, and DocketName). PMNS needs the Docket Number data for the Docket Number choice list which will be updated nightly with the data from RPS.

Electronic Information Exchange (EIE) system: EIE documents are uploaded into ADAMS for official recordkeeping. ADAMS provides accession numbers (ADAMS ML) back to EIE for submitted documents.

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

ADAMS transmits content over the NRC's ITI internal network.

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

Yes.

(1) If yes, who?

Other federal agencies, licensees, state, local, and tribal governments and members of the general public have access to the publicly available information in ADAMS.

(2) Will access be limited?

Read-only access is granted to publicly available information in ADAMS. No login is required since the agency has deemed this information as publicly available.

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

The publicly available documents are published to the NRC public Web site to be viewed and searched by members of the general public, external stakeholders, and other Federal agencies to fulfill the NRC's mandate to share information with the public.

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

The publicly available documents are released to the public through the ADAMS Public Libraries and accessible from the NRC's public Web site.

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?

The NARA approved records retention and disposition requirements for ADAMS records are described on the NRC's public web site and may be accessed via the following link:

<http://www.nrc.gov/reading-rm/records-mgmt.html>

Each NRC document declared as an Official Agency Record in ADAMS is designated an authorized disposition in Records Manager. This disposition covers the ADAMS PDF files, TIFF (Tagged Image File Format) files, as well as the ADAMS data related to digital signatures, and data that evidence final NRC management and staff concurrences in documents that are linked to and considered part of the official records.

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.

Not Applicable

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

Not Applicable

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?**

Not Applicable

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?**

Not Applicable

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?**

Not Applicable

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

Not Applicable

F. TECHNICAL ACCESS AND SECURITY

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

Internal access to the system is restricted to NRC users with NRC LAN/WAN accounts and passwords. Level of access to documents depends upon a user's role(s) and need-to-know and is restricted by access rights. The users are authenticated by an interface linked to the NRC's directory services (Single Sign-On). Additionally, ADAMS inherits access controls and permissions, identification and authentication and physical access controls from the Office of Information Services (OIS) Information Technology Infrastructure (ITI) General Support System.

There are no security controls to limit external access to the ADAMS Public Libraries as this access is anonymous.

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

ADAMS will rely on agency rules of behavior to ensure proper information usage by individuals that have been granted access to ADAMS ML. Role-based access controls and need-to-know within ADAMS also limits misuse of data.

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

Yes.

(1) If yes, where?

Please refer to the following documents.

ADAMS System Security Plan (ML103220552)
ADAMS P8 System Architecture Document (ML102500139);
ADAMS P8 Upgrade System Architecture Design (ML110760778);
ADAMS P8 Publishing System Architecture Design (ML12123A163); and
UPWS P8 System Architecture Document (ML11263A171).

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?

ADAMS ML is accessed by NRC HQ and all regional offices users via the NRC LAN/WAN and by the external users via the Internet (ADAMS Public Library).

ADAMS may only be accessed remotely by the following methods:

- Public users may access the public portions of ADAMS on the public NRC Web site; and
- Authorized remote access users may access ADAMS through NRC ITI's Citrix.

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

The user groups will include, but are not limited to, the NRC staff records liaison officers, records management staff, records managers, DPC staff, and operators and system administrators.

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

Yes

a. If yes, what will be collected?

The system (at a minimum) will keep track of the user IDs, when they log into the system, what content they access, and when they access it.

Please also see ADAMS System Security Plan and ADAMS P8 Audit and Accountability Policy and Procedures document (ML13301A505) for more information.

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

Yes.

The NRC contractors authorized for ADAMS access in order to fulfill their contractual obligations are under the same access control, including accounts, passwords, and access rights at the document level, as other NRC internal users, on a need to know basis.

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?

The security controls recommended by NIST SP 800-53 Rev. 3 have been implemented in ADAMS to prevent misuse of data. Please see ADAMS System Security Plan and ADAMS P8 Audit and Accountability Policy and Procedures document for more information.

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

Yes.

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

ADAMS was last authorized on January 20, 2011 (ML1035600731). The system is currently undergoing re-authorization.

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

System Name: Agencywide Documents Access and Management System Enterprise
Architecture Number: 9501

Submitting Office: IT/IM Portfolio Management & Planning Division, Office of Information Services

A. PRIVACY ACT APPLICABILITY REVIEW

Privacy Act is not applicable.

Privacy Act is applicable.

Comments:

Although there are some documents in ADAMS that contain information about individuals, it is not the practice or policy of the NRC to maintain ADAMS as a system of records keyed to individuals, or to retrieve by an individual's name or unique identifier (other than the name of the author). ADAMS was designed and developed as the NRC's information management system. It was not developed as a system to collect or maintain information "about" individuals. ADAMS contains document profile data fields, two of which collect the name of a document's author and the document's recipient. The name of a document author and/or recipient is collected for administrative purposes, not for the purpose of collecting or retrieving records or information "about" the named individual. Also, the capability does exist to search for documents using an individual's name or personal identifier (or any other text) in a document text search. OMB guidelines make it clear that it is not sufficient that an agency has the capability to retrieve information indexed under a person's name, but the agency must in fact retrieve records in this way in order for a system of records to exist. The retrieval of information by name or other personal identifier must be an agency practice to create a system of records and not a practice by those outside the agency.

Reviewer's Name	Title	Date
Sally A. Hardy	Acting Privacy Officer	March 18, 2015

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

No OMB clearance is needed.

OMB clearance is needed.

Currently has OMB Clearance. Clearance No. _____

Comments:

OMB approval is not required. The system does impose information collections as defined in the Paperwork Reduction Act or OMB's implementing regulations at 5 CFR 1320.

Reviewer's Name	Title	Date
Kristen Benney	Information Management Analyst	3/9/15

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:

Reviewer's Name	Title	Date
Mary Haynes	Records Management Analyst	March 17. 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/
Laura Pearson, Chief
FOIA, Privacy, and Info Collections Branch
Customer Service Division
Office of Information Services

Date 3/20/15

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

<p>TO: Cynthia Rheame, Director, IT/IM Portfolio Management & Planning Division, Office of Information Services</p>	
<p>Name of System: Agencywide Documents Access and Management System Enterprise Architecture Number: 9501</p>	
<p>Date CSD received PIA for review: February 23, 2015</p>	<p>Date CSD completed PIA review: March 18, 2015</p>
<p>Noted Issues:</p> <p>No Privacy Act issues.</p> <p>This system may contain documents that include personally identifiable information (PII). Documents that contain PII will have restricted access. Information related to the workplace such as an employee's name, title, work telephone number, official work address/location, and work e-mail address is not treated as PII by NRC. Additionally, NRC's Office of General Counsel has advised that home addresses, home phone numbers, or home e-mail addresses within adjudicatory filings, documents associated with agency rulemakings, and correspondence received from the public on regulatory matters will not be treated as PII.</p>	
<p>Laura Pearson, Chief FOIA, Privacy, and Info Collections Branch Customer Service Division Office of Information Services</p>	<p>Signature/Date: /RA/ 3/20/15</p>
<p><i>Copies of this PIA will be provided to:</i></p> <p><i>John Moses, Director Solutions Develop Division Office of Information Services</i></p> <p><i>Kathy Lyons-Burke Senior IT Security Officer (SITSO) FISMA Compliance and Oversight Team Computer Security Office</i></p>	