ADAMS ML16154A280

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.

Electronic Government (E-Gov) Travel System 2 (ETS2)

Date: 6/2/2016

A. GENERAL SYSTEM INFORMATION

1. Provide a detailed description of the system:

ETS2 is Concur Government Edition (CGE) and is a web-based, end-to-end travel management system to plan, authorize, arrange, process, and manage official federal travel. CGE enables travelers and/or travel arrangers to plan and make reservations (air, rail, lodging, car rental, etc.) on-line, prepare travel authorizations and vouchers on-line, and produce itineraries, have tickets issued, and store receipts on-line. Data from ETS2 is transmitted to the NRC's core financial system, Financial Accounting and Integrated Management Information System (FAIMIS) via file transfer.

2. What agency function does it support?

ETS2 is an online travel management system, supporting official NRC travel.

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

N/A

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

5 U.S.C. 5701–5709, 5 U.S.C. 5721– 5739

Office of Management and Budget Memo M-12-12

General Records Schedule 2, Dec. 1988 (ADAMS Accession No. ML011440509).

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

The system provides control over the expenditure of funds for travel, relocation, and related expenses. Therefore, provisions are made to authorize travel and relocation, provide and account for advances, and to pay for travel and relocation costs. The system contains records that may include, but are not limited to, name, Social Security Number, date of birth, residence address, dependents' names and ages, duty stations, itinerary and credit data in the form of credit scores (examples of credit scores are FICO, an acronym for Fair Isaac Corporation, a Beacon score, etc.) or commercial and agency investigative reports showing debtors' assets, liabilities, income, expenses, bankruptcy petitions, history of wage garnishments, repossessed property, tax liens, legal judgments on debts owed, and financial delinquencies.

6. Points of Contact:

Function Project Manager	**Office/Division/Branch**	**Telephone**
Lynn Crawford	OCFO/DOC/TOB	301-415-0255
Functional/Testing Lead	**Office/Division/Branch**	**Telephone**
Susan Hayden	OCFO/DOC	301-415-6206
Executive Sponsor	**Office/Division/Branch**	**Telephone**
Gordon Peterson	OCFO/DOC/DOC	301-415-7379
Information System Security Officer	**Office/Division/Branch**	**Telephone**
Kathleen Brosky	OCFO/DOC/FSB	301-415-6076

7. Does this privacy impact assessment (PIA) support a proposed new system or a proposed modification to an existing system?

a. __X__ New System ___ Modify Existing System ____ Other (Explain)

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

Replacement of existing system.

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

ML053390282, 12/14/2005

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

Same functions as preview system with new contractor and same Government Services Administration (GSA) contract oversight.

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).

Employees, prospective employees, contractors, and invitational travelers for NRC programs.

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

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

Traveler's personal and financial data: Traveler's personal data such as name, address, social security number, organization, transportation, lodging, and car rental reservation data, itinerary, credit card data.

c. Is information being collected from the subject individual?

Yes

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

Name, address, social security number, organization, trip itinerary, credit card information, financial data.

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. ETS2 is a government wide, web-based travel management service. The requirements for the system were developed by GSA based on Federal travel regulations. No OMB clearance is required.

(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.

Financial System: Financial Accounting and Integrated Management Information System (FAIMIS) Vender File, FAIMIS Accounting Data

f. Is the information being collected from external sources (any source outside of the NRC)?

No

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

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

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

N/A

2. INFORMATION NOT ABOUT INDIVIDUALS

a. Will information not about individuals be maintained in this system?

No

(1) If yes, identify the type of information (be specific).

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

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.

ETS2 is Concur Government Edition (CGE) and is a web-based, end-to-end travel management system to plan, authorize, arrange, process, and manage official federal travel. CGE enables travelers and/or travel arrangers to plan and

make reservations (air, rail, lodging, car rental, etc.) on-line, prepare travel authorizations and vouchers on-line, and produce itineraries, have tickets issued, and store receipts on-line. Data from ETS2 is transmitted to the NRC's core financial system, Financial Accounting and Integrated Management Information System (FAIMIS) via file transfer.

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?

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 data elements are defined in detail in the data dictionary and reference in the ETS2 -Concur Government Edition (CGE) SSP and user guides. Both documents are maintained electronically and available for viewing at the GSA E-Gov Travel PMO in Washington, D.C.

4. 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?

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?

5. How will data be *retrieved* from the system? Will data be retrieved by an individual's name or personal identifier? (Be specific.)

Information can be retrieved by name, social security number. Identifying numbers may be assigned to individuals, such as the last 4 digits of their social security numbers, or another employee ID.

6. 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?

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

Standard reports will be produced on travel authorizations, vouchers, outstanding travel balances, and travel expenditures by organization, and special reports on certain types of travel, such as foreign travel.

a. What are the reports used for?

Managing travel balances and funds, complying with Federal Travel Regulations, reconciling between E-Gov Travel and the financial system, reimbursing travelers and closing travel authorizations on a timely basis.

b. Who has access to these reports?

Approving officials, program and financial managers, and accountants in the OCFO will have access to reports. Individual travelers will have access to reports on their individual travel balances.

D. ACCESS TO DATA

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

All office employees who travel will have access to the system. Authorizing officials will also have access. Access controls will allow individual travelers to view their own data. Individuals in their approval chain will also have access to view travelers' data. Access controls are provided with "least level of access" to preclude unauthorized viewing of protected data. OCFO accounting personnel will have access to a wider range of data, as in the current travel process.

(1) For what purpose?

To plan, authorize, arrange, process, and manage official federal travel. Travelers can make travel arrangements online, including plan and make reservations (air, rail, lodging, car rental, etc.), prepare travel authorizations and vouchers, produce itineraries, have tickets issued, and store receipts on-line. Authorizing officials can approve travel authorization and vouchers. OCFO

personnel can review and auditor travel transactions.

(2) Will access be limited?

Yes.

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).

FAIMIS

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

The data is transmitted via secured file transfer.

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

No

(1) If yes, who?

(2) Will access be limited?

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

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

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?**

General Records Schedule (GRS) 1.1/010. **Disposition**: Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

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 <u>cannot</u> be mapped to an approved records retention schedule, how long do you need the records? Please explain.**

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

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?**

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?**

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?**

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

F. <u>TECHNICAL ACCESS AND SECURITY</u>

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

Access controls, including “user Ids” and passwords, will be used to protect personal and other data. Access to travelers’ personal data will be limited to those included in the approval chain.

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

User access controls will protect unauthorized access to or modification of personal data. Reports containing personal data will be clearly marked with “sensitive data” banners, automated audit logs and reports will be reviewed to identify unauthorized access.

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

Yes

(1) If yes, where?

System documentation contains a description of the criteria and how the access controls function. ETS2 Security documentation is located at the Government Services Administration (GSA) Federal Acquisition Service (FAS) E-Gov Travel Program Management Office (E-Gov Travel PMO).

4. 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?

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

Travelers, approving officials, system administrators, OCFO functional staff.

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

Yes, audit logs will be maintained by the system.

a. If yes, what will be collected?

ETS2 captures a record of the User ID with a time and date stamp and the table, form or transaction accessed. The ETS2 also maintains records of any batch, report, or file transfer job run.

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

Yes

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?

ETS2 has the following controls in place for limiting system access:

- Access forms are completed
- User access levels are determined based on the user's organization profile
- Access and password protection is in place to secure the system
- A process for system change requests is in place to maintain documentation of changes
- Access to sensitive information such as SSN and bank account numbers is limited to only to small subset of users with the appropriate permission

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

Yes

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

Authority to Operate (ATO) granted by GSA E-GOV Travel Services to CGE on April 15, 2013, and effective through April 15, 2016.

Re-issuance of Authority to Operate (ATO) granted by GSA E-GOV Travel Services to CGE on December 20, 2013, and effective through April 15, 2016.

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

System Name: Electronic Government (E-Gov) Travel System 2 (ETS2)

Submitting Office: Office of the Chief Financial Officer (OCFO)

A. PRIVACY ACT APPLICABILITY REVIEW

___ Privacy Act is not applicable.

__X__ Privacy Act is applicable.

Comments:
This system will collect, maintain, and disseminate information about individuals other than NRC employees such as perspective employees, contractors, invitational travelers for NRC programs, etc. This system is covered under System of Records, NRC-20, "Official Travel Records." No modification to the system notice is required.

Reviewer's Name	Title	Date
Sally A. Hardy	Acting Privacy Officer	June 15, 2016

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

__X__ No OMB clearance is needed.

___ OMB clearance is needed.

___ Currently has OMB Clearance. Clearance No._____

Comments:
ETS2 is a government-wide, web-based travel management service. The requirements for the system were developed by GSA based on Federal travel regulations. No OMB clearance is required.

Reviewer's Name	Title	Date
Kristen Benney	Sr. Information Management Analyst	June 9, 2016

C. RECORDS RETENTION AND DISPOSAL SCHEDULE DETERMINATION

___ No record schedule required.

____ Additional information is needed to complete assessment.

____ Needs to be scheduled.

__X__ Existing records retention and disposition schedule covers the system - no modifications needed.

Comments:
The records in the Electronic Government (E-Gov) Travel System 2 (ETS2) are covered in the NARA approved GRS 1.1, Item 010, Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting. The disposition is:

Temporary: Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

Adherence to the GRS is mandatory under 44 U.S.C. 3303a(d). Retention functionality or a manual process must be developed to meet this requirement.

Reviewer's Name	Title	Date
Mary L. Haynes	Records Management Analyst	June 13, 2016

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.

__X__ 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/ Date **6/20/2016**

Kimyata MorganButler, Chief
FOIA, Privacy, and Info Collections Branch
Customer Service Division
Office of the Chief Information Officer

TRANSMITTAL OF PRIVACY IMPACT ASSESSMENT/
PRIVACY IMPACT ASSESSMENT REVIEW RESULTS

TO: **Gordon Peterson, Controller, Office of the Chief Financial Officer (OCFO)**	
Name of System: **Electronic Government (E-Gov) Travel System 2 (ETS2)**	
Date CSD received PIA for review: **June 2, 2016**	Date CSD completed PIA review: **June 15, 2016**
Noted Issues:	
Kimyata MorganButler, Chief FOIA, Privacy, and Info Collections Branch Customer Service Division Office of the Chief Information Officer	Signature/Date: **/RA/** **6/20/2016**
Copies of this PIA will be provided to: *John Moses, Director* *Solutions Develop Division* *Office of Information Services* *Kathy Lyons-Burke* *Senior IT Security Officer (SITSO)* *FISMA Compliance and Oversight Team* *Computer Security Office*	