

**NUCLEAR REGULATORY COMMISSION**

**[NRC-2022-0140]**

**Privacy Act of 1974**

**Systems of Records**

**AGENCY:** Nuclear Regulatory Commission.

**ACTION:** Notice of modified systems of records; request for comment.

**SUMMARY:** Pursuant to the Privacy Act of 1974 and Office of Management and Budget (OMB) Circular No. A-108, to ensure the system of records notices remain accurate, the U.S. Nuclear Regulatory Commission (NRC) staff reviews each notice on a periodic basis. As a result of this systematic review, the NRC is republishing 13 of its system of records notices and has made various revisions to ensure that the NRC's notices remain clear, accurate, and up to date. Four of the system notices - NRC 5, Grants Management System, NRC 8, Employee Disciplinary Actions, Appeals, Grievances, and Complaints Records, NRC 11, Reasonable Accommodations Records, and NRC 23, Case Management System - Indices, Files, and Associated Records are subject to a 30-day comment period. The revisions to these systems, with the exception of the modifications to routines uses for the NRC 5 and NRC 8 systems, are in effect upon this publication. The NRC 5 and NRC 8 routine use modifications will go into effect 30 days after this publication. The remaining systems revisions are minor corrective and administrative changes that do not meet the threshold criteria established by OMB for either a new or altered system of records. The minor modifications include updating authorities, narrowing the scope of one system notice, renaming two systems for clarity, and various other minor updates, in accordance with OMB Circular A-108. Additional

details are provided in the SUPPLEMENTARY INFORMATION section of this document.

**DATES:** Submit comments by **NOVEMBER 23, 2022**. Comments received after this date will be considered if it is practical to do so, but the Commission is able to ensure consideration only for comments received before this date.

**ADDRESSES:** You may submit comments by any of the following methods; however, the NRC encourages electronic comment submission through the **Federal rulemaking website**:

- **Federal rulemaking website:** Go to <https://www.regulations.gov> and search for Docket ID **NRC-2022-0140**. Address questions about Docket IDs in Regulations.gov to Stacy Schumann; telephone: 301-415-0624; email: [Stacy.Schumann@nrc.gov](mailto:Stacy.Schumann@nrc.gov). For technical questions, contact the individual listed in the “For Further Information Contact” section of this document.

- **Mail comments to:** Office of Administration, Mail Stop: TWFN-7-A60M, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, ATTN: Program Management, Announcements and Editing Staff.

For additional direction on obtaining information and submitting comments, see “Obtaining Information and Submitting Comments” in the SUPPLEMENTARY INFORMATION section of this document.

**FOR FURTHER INFORMATION CONTACT:** Sally Hardy, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, telephone: 301-415-5607; email: [Sally.Hardy@nrc.gov](mailto:Sally.Hardy@nrc.gov).

## **SUPPLEMENTARY INFORMATION**

### **I. Obtaining Information and Submitting Comments**

#### **A. Obtaining Information**

Please refer to Docket ID **NRC-2022-0140** when contacting the NRC about the

availability of information for this action. You may obtain publicly available information related to this action by any of the following methods:

- **Federal Rulemaking Website:** Go to <https://www.regulations.gov> and search for Docket ID **NRC-2022-0140**.

- **NRC's Agencywide Documents Access and Management System (ADAMS):** You may obtain publicly available documents online in the ADAMS Public Documents collection at <https://www.nrc.gov/reading-rm/adams.html>. To begin the search, select "Begin Web-based ADAMS Search." For problems with ADAMS, please contact the NRC's Public Document Room (PDR) reference staff at 1-800-397-4209, 301-415-4737, or by email to [PDR.Resource@nrc.gov](mailto:PDR.Resource@nrc.gov).

- **NRC's PDR:** You may examine and purchase copies of public documents, by appointment, at the NRC's PDR, Room P1 B35, One White Flint North, 11555 Rockville Pike, Rockville, Maryland 20852. To make an appointment to visit the PDR, please send an email to [PDR.Resource@nrc.gov](mailto:PDR.Resource@nrc.gov) or call 1-800-397-4209 or 301-415-4737, between 8:00 a.m. and 4:00 p.m. Eastern Time (ET), Monday through Friday, except Federal holidays.

#### B. Submitting Comments

The NRC encourages electronic comment submission through the Federal rulemaking website (<https://www.regulations.gov>). Please include Docket ID **NRC-2022-0140** in your comment submission.

The NRC cautions you not to include identifying or contact information that you do not want to be publicly disclosed in your comment submission. The NRC will post all comment submissions at <https://www.regulations.gov> as well as enter the comment submissions into ADAMS. The NRC does not routinely edit comment submissions to remove identifying or contact information.

If you are requesting or aggregating comments from other persons for submission to the NRC, then you should inform those persons not to include identifying or contact information that they do not want to be publicly disclosed in their comment submission. Your request should state that the NRC does not routinely edit comment submissions to remove such information before making the comment submissions available to the public or entering the comment into ADAMS.

## **II. Background**

Pursuant to the Privacy Act of 1974 and OMB Circular No. A-108, "Federal Agency Responsibilities for Review, Reporting, and Publication under the Privacy Act," notice is hereby given that the NRC is republishing 13 of its system of records notices. In six of those system of records notices, there are revisions that include minor and administrative changes that do not meet the criteria for either a new or altered system of records notice. Three of the systems are being republished as part of our review process with no changes in a single document for ease of use and reference since the last publication in 2019.

The changes in the following four Privacy Act system of records notices do meet the criteria for an altered system of records.

First, the NRC is renaming the NRC 5, Contracts Records System as the Grants Management System to reflect a narrowing of the scope of the system. Other revisions associated with narrowing the scope of the system include modifying the sections on purpose, authority, categories of individuals covered, categories of records, routine uses, policies and practices for retrieval of records, and policies and practices for retention and disposal.

The NRC is revising NRC 8, Employee Disciplinary Actions, Appeals, Grievances, and Complaints Records to clarify the purpose of the system, the categories

of individuals covered by the system, the record source categories, the routine uses, and the administrative, technical, and physical safeguards.

The NRC is revising NRC 11, Reasonable Accommodation Records, to clarify the authority for maintenance of this system.

The NRC is revising NRC 23, Office of Investigations Indices, Files and Associated Records, by renaming it as the Case Management System - Indices, Files, and Associated Records and revising it to clarify that the system covers both investigation and enforcement information. The sections of the notice that the NRC is revising include system managers, categories of individuals covered, categories of records, policies and practices for storage of records, policies and practices for retrieval of records, and policies and practices for retention and disposal.

The revisions to systems: NRC 5, Grants Management System; NRC 8, Employee Disciplinary Actions, Appeals, Grievances, and Complaints Records; NRC 11, Reasonable Accommodation Records and NRC 23, Office of Investigations Indices, Files and Associated Records, by renaming it as the Case Management System - Indices, Files, and Associated Records, are subject to a 30-day comment period. The revisions to these systems, with the exception of the modifications to routines uses for the NRC 5 and NRC 8 systems, are in effect upon this publication. The NRC 5 and NRC 8 routine use modifications will go into effect 30 days after this publication.

A report on these revisions has been sent to OMB, the Committee on Homeland Security and Governmental Affairs of U.S. Senate, and the Committee on Oversight and Reform of the U.S. House of Representatives, as required by the Privacy Act.

If changes are made based on the NRC's review of comments received, the NRC will publish a subsequent notice.

The text of the report, in its entirety, is attached.

Dated: October 19, 2022.

For the Nuclear Regulatory Commission.

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Scott C. Flanders,  
Senior Agency Official for Privacy,  
Office of the Chief Information Officer.

## **Attachment - Nuclear Regulatory Commission Privacy Act Systems of Records**

### ***NRC Systems of Records***

1. Parking Permit Records—NRC.
3. Enforcement Actions Against Individuals—NRC.
5. Grants Management System —NRC.
8. Employee Disciplinary Actions, Appeals, Grievances, and Complaints Records—NRC.
10. Freedom of Information Act (FOIA) and Privacy Act (PA) Request Records—NRC.
11. Reasonable Accommodations Records—NRC.
12. Child Care Subsidy Program Records—NRC.
14. Employee Assistance Program Records—NRC
16. Facility Operator Licensees Records (10 CFR Part 55)—NRC.
18. Office of the Inspector General (OIG) Investigative Records—NRC and Defense Nuclear Facilities Safety Board (DNFSB).
19. Official Personnel Training Records—NRC.
21. Payroll Accounting Records—NRC.
23. Case Management System - Indices, Files, and Associated Records —NRC.

These systems of records are maintained by the NRC and contain personal information about individuals that is retrieved by an individual's name or identifier.

The notice for each system of records states the name and location of the record system, the authority for and manner of its operation, the categories of individuals that it covers, the types of records that it contains, the sources of information in those records, and the routine uses of each system of records. Each notice also includes the business

address of the NRC official who will inform interested persons of the procedures whereby they may gain access to and request amendment of records pertaining to them.

The Privacy Act provides certain safeguards for an individual against an invasion of personal privacy by requiring Federal agencies to protect records contained in an agency system of records from unauthorized disclosure and to ensure that information is current and accurate for its intended use and that adequate safeguards are provided to prevent misuse of such information.

**SYSTEM NAME AND NUMBER:**

Parking Permit Records—NRC 1

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

Facilities and Logistics Branch, Office of Administration, NRC, Two White Flint North, 11555 Rockville Pike, Rockville, Maryland, and current contractor facility.

**SYSTEM MANAGER(S):**

Chief, Facilities and Logistics Branch, Division of Facilities and Security, Office of Administration, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

31 U.S.C. 3511; 41 CFR 102-74.265 *et seq.*, Parking Facilities

**PURPOSE(S) OF THE SYSTEM:**

The information contained in this system is used for the assignment of parking permits and NRC-controlled parking spaces.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

NRC employees and contractors who apply for parking permits for NRC-controlled parking spaces.



**CATEGORIES OF RECORDS IN THE SYSTEM:**

These records consist of the applications and the revenue collected for the Headquarters' parking facilities. The applications include, but are not limited to, the applicant's name, address, telephone number, length of service, vehicle, rideshare, and handicap information.

**RECORD SOURCE CATEGORIES:**

Applications submitted by NRC employees and contractors.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

- a. To record amount paid and revenue collected for parking;
- b. To contact permit holder;
- c. To determine priority for issuance of permits;
- d. To provide statistical reports to city, county, State, and Federal Government agencies;
- e. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

f. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

g. A record from this system of records may be disclosed as a routine use to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual;

h. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a “need-to-know” basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

i. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

j. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing,

minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records are maintained on paper in file folders and on electronic media.

**POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Accessed by name, tag number, and/or permit number.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained under the National Archives and Records Administration's General Records Schedule 5.6: Security Records, Item 130, Local facility identification and card access records. Records are destroyed upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized if required for business use.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Paper records are maintained in locked file cabinets under visual control of the Facility Operations and Space Management Branch staff. Computer files are maintained on a hard drive, access to which is password protected. Access to and use of these records is limited to those persons whose official duties require access.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**SYSTEM NAME AND NUMBER:**

Enforcement Actions Against Individuals—NRC 3.

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

Primary system—NRC Data Center, One White Flint North, 11555 Rockville Pike, Rockville, Maryland.

Duplicate system—Additional records may exist, in whole or in part, within the Office of Enforcement, NRC, One White Flint North, 11555 Rockville Pike, Rockville, Maryland, at the NRC Regional Offices at the locations listed in Addendum I, Part 2, and in the Office of the General Counsel, NRC, One White Flint North, 11555 Rockville Pike, Rockville, Maryland.

**SYSTEM MANAGER(S):**

Director, Office of Enforcement, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

42 U.S.C. 2073(e), 2113, 2114, 2167, 2168, 2201(i), 2231, 2282; 10 CFR 30.10,

40.10, 50.5, 50.110, 50.111, 50.120, 60.11, 61.9b, 70.10, 72.12, 110.7b, 110.50, and 110.53; 10 CFR part 2, subpart B; Atomic Energy Act of 1954, as amended (42 U.S.C. 2011 *et seq.*); 10 CFR 19.16(a), 30.7, 40.7, 50.7, 60.9, 70.7, and 72.10; Energy Reorganization Act of 1974, as amended, section 211 (42 U.S.C. 5851); 5 U.S.C. 2302(a)(2)(A).

**PURPOSE(S) OF THE SYSTEM:**

The purpose of the system is to maintain information about individuals involved in NRC-licensed activities who have been subject to NRC enforcement actions or who have been the subject of correspondence indicating that they are being or have been considered for enforcement action.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals involved in NRC-licensed activities who have been subject to NRC enforcement actions or who have been the subject of correspondence indicating that they are being, or have been, considered for enforcement action.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system includes, but is not limited to, individual enforcement actions, including Orders, Notices of Violations with and without Civil Penalties, Orders Imposing Civil Penalties, Letters of Reprimand, Demands for Information, and letters to individuals who are being or have been considered for enforcement action. Also included are responses to these actions and letters. In addition, the files may contain other relevant documents directly related to those actions and letters that have been issued. Files are arranged numerically by Individual Action (IA) numbers, which are assigned when individual enforcement actions are considered. In instances where only letters are issued, these letters also receive IA numbers. The system includes a computerized database from which information is retrieved by names of the individuals subject to the

action and IA numbers.

**RECORD SOURCE CATEGORIES:**

Information in the records is primarily obtained from NRC inspectors and investigators and other NRC employees, individuals to whom a record pertains, authorized representatives for these individuals, and NRC licensees, vendors, other individuals regulated by the NRC, and persons making allegations to the NRC.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

a. To deter future violations, certain information in this system of records may be routinely disseminated to the public by means such as publishing in the *Federal Register* certain enforcement actions issued to individuals and making the information available in the Public Document Room accessible through the NRC Website, [www.nrc.gov](http://www.nrc.gov);

b. When considered appropriate for disciplinary purposes, information in this system of records, such as enforcement actions and hearing proceedings, may be disclosed to a bar association, or other professional organization performing similar functions, including certification of individuals licensed by NRC or Agreement States to perform specified licensing activities;

c. Where appropriate to ensure the public health and safety, information in this system of records, such as enforcement actions and hearing proceedings, may be disclosed to a Federal or State agency with licensing jurisdiction;

d. To respond to the National Archives and Records Administration or to the

General Services Administration for records management inspections conducted under 44 U.S.C. 2904 and 2906;

e. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

f. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency to obtain information relevant to an NRC decision concerning hiring or retaining an employee, letting a contract, or issuing a security clearance, license, grant or other benefit;

g. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency requesting a record that is relevant and necessary to its decision on a matter of hiring or retaining an employee, issuing a security clearance, reporting an investigation of an employee, letting a contract, or issuing a license, grant, or other benefit;

h. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

i. A record from this system of records may be disclosed as a routine use to a Congressional office from the record of an individual in response to an inquiry from the

Congressional office made at the request of that individual;

j. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a “need-to-know” basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

k. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

l. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Information contained in electronic records are maintained on computer media.

**POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records are accessed by individual action file number or by the name of the



individual.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Cut off files when case is closed. Hold 5 years and retire to Washington National Records Center (WNRC). Transfer to National Archives and Records Administration (NARA) with related indexes when 20 years old. (NUREG-0910, Rev.4, 2.10.2.a(1)).

Cut off electronic files when case is closed. Transfer to NARA 2 years after cutoff.

Destroy NRC copy 18 years after transferring record to NARA (NUREG-0910, Rev. 4, 2.10.2.a(4)).

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Paper records are maintained in lockable file cabinets and are under visual control during duty hours. Access to computer records requires use of proper password and user identification codes. Access to and use of these records is limited to those NRC employees whose official duties require access.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**SYSTEM NAME AND NUMBER:**

Grants Management System - NRC 5

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

Primary system— NRC Headquarters, 11555 Rockville Pike, Rockville, Maryland.

**SYSTEM MANAGER(S):**

Senior Grants Administrative Specialist, Office of Nuclear Regulatory Research U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

42 U.S.C. § 16274a, "University Nuclear Leadership Program."

**PURPOSE(S) OF THE SYSTEM:**

To administer grant programs for scholarship, fellowships, faculty development and research and development projects at institutions of higher education, including scholarships to trade schools and community colleges. This information is used to track a student that receives federal grant funds under a scholarship or fellowship from academia through employment after graduation to ensure the student's compliance with the terms of his or her service agreement under the University Nuclear Leadership Program (UNLP).

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Student recipients who are selected by Grantee Institutions as sub-grantees to receive federal grant funds for scholarships or fellowships under UNLP grant awards.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Student name, grant award providing financial support, type of grant award, performance dates of the grant award, address, phone, email, students' educational major/degree, amount of funds received under the grant award, graduation date, service obligation requirement, service agreement received, place of employment, position held, service agreement received, work status (employed in nuclear, graduated, waiver approved, repayment), tracking of a waiver requested/approved, invoice information if applicable in the event of repayment of funds and amount of years that a student is required to work in a nuclear-related position under the service agreement.

**RECORD SOURCE CATEGORIES:**

The information is derived from approved student service agreements that are required under the program pursuant to 42 U.S.C. 2015b. The NRC establishes the agreement per the statutory and program requirements. The grant recipient institutions require the students to complete the forms for approval by the NRC and countersignature by the institution.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

- a. A record from this system of records may be disclosed as a routine use to that individual's educational institution in order to monitor the progress of scholarship and fellowship recipients, to ensure compliance with program requirements, to use the data to demonstrate program effectiveness, and for the educational institution's record-

keeping purposes.

b. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

c. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency to obtain information relevant to an NRC decision concerning hiring or retaining an employee, letting a contract, or issuing a security clearance, license, grant or other benefit;

d. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency requesting a record that is relevant and necessary to its decision on a matter of hiring or retaining an employee, issuing a security clearance, reporting an investigation of an employee, letting a contract, or issuing a license, grant, or other benefit;

e. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

f. A record from this system of records may be disclosed as a routine use to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual;

g. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a "need-to-know" basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager.

h. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

i. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

These records are maintained electronically on a protected shared drive, restricted access to only those approved by grant staff and OCHCO.

**POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Information retrieved by names, grant award numbers or job status.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained and disposed of in accordance with National Archives and Records Administration record retention schedules appropriate to the retention.

GRS 1.2 item 010 – Grant and cooperative agreement program management records. Temporary. Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use.

GRS 1.2 item 020 – Grant and cooperative agreement case files. Successful applications. Temporary. Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.

GRS 1.2 item 021 – Grant and cooperative agreement case files. Unsuccessful application. Temporary. Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.

GRS 1.1 item 010 – Financial transaction records related to procuring goods and services, paying bills, collecting debts and accounting. Official record held in the office of record. Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

GRS 1.1 item 011 - Financial transaction records related to procuring goods and services, paying bills, collecting debts and accounting. All other copies (used for administrative or reference purposes). Temporary. Destroy when business use ceases.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Records are maintained on protected shared drive. Access rights to the information is only available to authorized personnel.

**RECORDS ACCESS PROCEDURES:**

Same as "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**SYSTEM NAME AND NUMBER:**

Employee Disciplinary Actions, Appeals, Grievances, and Complaints Records—  
NRC 8.

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

Primary system—Office of the Chief Human Capital Officer, NRC, Two White Flint North, 11545 Rockville Pike, Rockville, Maryland.

The Office of the Inspector General (OIG) employee files are located with the NRC's OIG, 11555 Rockville Pike, Rockville, Maryland.

Duplicate system—A duplicate system may be maintained, in whole or in part, in the Office of the General Counsel, NRC, One White Flint North, 1555 Rockville Pike, Rockville, Maryland, and at NRC's Regional Offices at locations listed in Addendum I,

Part 2.

**SYSTEM MANAGER(S):**

Chief, Policy, Labor and Employee Relations Branch, Office of the Chief Human Capital Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001. For OIG employee records: Director, Resource Management and Operations Support, Office of the Inspector General, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 3132(a); 5 U.S.C. 3502, 5 U.S.C. 3571, 5 U.S.C. 4303, as amended; 5 U.S.C. 7513; 29 U.S.C. 633a; 29 U.S.C. 791; 42 U.S.C. 2000e-16; 42 U.S.C. 2201(d), as amended.

**PURPOSE(S) OF THE SYSTEM:**

The purpose of this system is to maintain the records of current and former NRC employees, including annuitants, who have filed complaints, grievances or appeals and/or have been the subject of proposed or final disciplinary actions or have been suspected of misconduct.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Current and former NRC employees who are involved in any employee and/or labor relations actions or proceedings.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Includes all documents related to: disciplinary actions; adverse actions; appeals; complaints, including but not limited to those raised under the agency's prevention of harassment program; grievances; arbitrations; and negative determinations regarding within-grade salary increases. It contains information relating to determinations affecting individuals made by the NRC, Office of Personnel Management, Merit Systems



Protection Board, arbitrators, courts of law, or other tribunals. The records may include the initial appeal or complaint, letters or notices to the individual, records of hearings when conducted, materials placed into the record to support the decision or determination, affidavits or statements, testimony of witnesses, investigative reports, instructions to an NRC office or division concerning action to be taken to comply with decisions, and related correspondence, opinions, and recommendations.

**RECORD SOURCE CATEGORIES:**

Individuals to whom the record pertains, NRC employees, managers, and contractors, Office of Personnel Management and/or Merit Systems Protection Board officials; affidavits or statements from employees, union representatives, or other persons; testimony of witnesses; reports of inquiries (findings); official documents relating to the appeal, grievance, or complaint, including but not limited to those raised under the agency's prevention of harassment program and Allegations of Retaliation for Raising Safety Concerns (ARRSC) program; Official Personnel Folder; and other Federal agencies.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

a. To furnish information to other Federal organizations, including but not limited to, the Office of Personnel Management, Merit Systems Protection Board, Office of Special Counsel (OSC), and Equal Employment Opportunity Commission (EEOC) under applicable requirements related to complaints, investigations and appeals;

b. To provide appropriate data to union representatives and third parties (that may include the Federal Services Impasses Panel and Federal Labor Relations Authority) in connection with grievances, arbitration actions, and appeals;

c. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

d. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency to obtain information relevant to an NRC decision concerning hiring or retaining an employee, letting a contract, or issuing a security clearance, license, grant or other benefit;

e. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency requesting a record that is relevant and necessary to its decision on a matter of hiring or retaining an employee, issuing a security clearance, reporting an investigation of an employee, letting a contract, or issuing a license, grant, or other benefit;

f. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

g. A record from this system of records may be disclosed as a routine use to a

Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual;

h. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a "need-to-know" basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

i. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

j. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records are maintained on paper and computer media.

**POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records are retrieved by individual's name.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained under the National Archives and Records Administration's General Records Schedule 2.3: Employee Relations Records, Administrative grievance, disciplinary, and adverse action files, Item 060, Administrative grievance files, Item 061, Adverse action files, and Item 062, Performance-based action files, respectively.

Destroy no sooner than 4 years but no less than 7 years after case is closed.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Records are maintained in locked file cabinets and in a security-controlled access automated system. Access to and use of these records is limited to those persons whose official duties require such access.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures." Some information was received in confidence and will not be disclosed to the extent that disclosure would reveal a confidential source.

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**SYSTEM NAME AND NUMBER:**

Freedom of Information Act (FOIA) and Privacy Act (PA) Request Records—  
NRC 10.

**SECURITY CLASSIFICATION:**

Classified and Unclassified

**SYSTEM LOCATION:**

Primary system—FOIA, Library, and Information Collection Branch, Governance & Enterprise Management Services Division, Office of the Chief Information Officer, NRC, Two White Flint North, 11545 Rockville Pike, Rockville, Maryland.

Duplicate system—Duplicate systems may exist, in part, at the locations listed in Addendum I, Parts 1 and 2.

**SYSTEM MANAGER(S):**

FOIA Officer, FOIA, Library, and Information Collections Branch, Governance & Enterprise Management Services Division, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 552 and 552a; 42 U.S.C. 2201, as amended; 10 CFR part 9.

**PURPOSE(S) OF THE SYSTEM:**

The purpose of this system is to support the processing of record access requests and administrative appeals under the FOIA, as well as access, notification, and amendment requests and administrative appeals under the Privacy Act, whether NRC receives such requests directly from the requester or via referral from another agency. In addition, this system is used to support agency participation in litigation arising from such requests and appeals, and to assist NRC in carrying out any other responsibilities under the FOIA or the access or amendment provisions of the Privacy Act.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals filing requests for access to information under the Freedom of Information Act (FOIA) or Privacy Act (PA); individual's names in the FOIA request; NRC staff assigned to help process, consider, and respond to such requests, including any appeals.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system contains copies of the written requests from individuals or organizations made under the FOIA or PA, the NRC response letters, and related records.

**RECORD SOURCE CATEGORIES:**

Requests are made by individuals. The response to the request is based upon information contained in NRC records.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

- a. If an appeal or court suit is filed with respect to any records denied;
- b. For preparation of reports required by 5 U.S.C. 552 and 5 U.S.C. 552a;
- c. To another Federal agency when consultation or referral is required to process a request;
- d. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or

criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

e. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency to obtain information relevant to an NRC decision concerning hiring or retaining an employee, letting a contract, or issuing a security clearance, license, grant or other benefit;

f. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency requesting a record that is relevant and necessary to its decision on a matter of hiring or retaining an employee, issuing a security clearance, reporting an investigation of an employee, letting a contract, or issuing a license, grant, or other benefit;

g. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

h. A record from this system of records may be disclosed as a routine use to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual;

i. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a "need-to-know" basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

j. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;

k. A record from this system of records may be disclosed as a routine use to respond to the National Archives and Records Administration, Office of Government Information Services (OGIS), to the extent necessary to allow OGIS to fulfill its responsibilities *under 5 U.S.C § 552(h)*, to review administrative agency policies, procedures and compliance with the Freedom of Information Act (FOIA) and offer mediation services to resolve disputes between persons making FOIA requests and administrative agencies; and

l. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

m. FOIA records, which are publicly available in the Public Documents Room, are accessible through the NRC Web site, <http://www.nrc.gov>.

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**



Records are maintained on paper, audio and video tapes, and electronic media.

**POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records are accessed by unique assigned number for each request and by requester's name.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained under the National Archives and Records Administration's, General Records Schedule 4.2: Information Access and Protection Records, Item 020, Access and disclosure request files. Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Records are maintained on restricted drives, folders, SharePoint, in a safe, or in locked file cabinets, in workstations or that are kept in locked rooms. Electronic records are password protected. Access to and use of these records is limited to those persons whose official duties require such access and have a need to know.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Records contained in this system that have been placed on the NRC public website are available upon request. Pursuant to 5 U.S.C. 552a(k)(2), records in this system, which reflect records that are contained in other systems of records that are designated as exempt, are exempt from the requirements of subsections (c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) of 5 U.S.C. 552a.

**SYSTEM NAME AND NUMBER:**

Reasonable Accommodation Records - NRC 11

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

Primary system—For Headquarters and all Senior Executive Service (SES) personnel, Office of the Chief Human Capital Officer, NRC, Two White Flint North, 11545 Rockville Pike, Rockville, Maryland. For Regional personnel, at Regional Offices I-IV listed in Addendum I, Part 2.

**SYSTEM MANAGER(S):**

Human Resources Specialist (RA) and Branch Chief, Policy, Labor and Employee Relations Branch, Associate Director for Human Resources Operations and Policy, Office of the Chief Human Capital Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Executive Order (E.O.) 13164; E.O. 9397, as amended by E.O. 13478; Social Security Number Fraud Prevention Act of 2017, 42 U.S.C. 405 note.

**PURPOSE(S) OF THE SYSTEM:**

To allow the NRC to collect and maintain records on employees and applicants for employment who have disabilities and have requested or received reasonable accommodations as required by Sections 501, 504, and 701 of the Rehabilitation Act of 1973. This system will track and report the processing of requests for reasonable accommodations to comply with applicable law and regulations and to preserve and maintain confidentiality.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Federal employees and applicants for employment requesting a reasonable accommodation.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system name, accommodation being requested, accommodation type, impairment, disability type, disability condition, 504/508 explanation, and case notes.

**RECORD SOURCE CATEGORIES:**

Information in this system of records comes from the individual to whom it applies; is derived from information supplied by that individual; employee's supervisor or private and Federal physicians, and medical institutions.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING**

**CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

- a. A record from this system of records may be disclosed as a routine use to a prospective employer of a Government employee. Upon transfer of the employee to

another Federal agency, the information may be transferred to such agency;

b. A record from this system of records may be disclosed as a routine use to provide information to the OPM and/or MSPB for review, audit, or reporting purposes;

c. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

d. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency to obtain information relevant to an NRC decision concerning hiring or retaining an employee, letting a contract, or issuing a security clearance, license, grant or other benefit;

e. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency requesting a record that is relevant and necessary to its decision on a matter of hiring or retaining an employee, issuing a security clearance, reporting an investigation of an employee, letting a contract, or issuing a license, grant, or other benefit;

f. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

g. A record from this system of records may be disclosed as a routine use to a

Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual;

h. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a "need-to-know" basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

i. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

j. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records are maintained on paper in file folders and on electronic media.

**POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records for employees are retrieved by employee name.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained under the National Archives and Records Administration's General Records Schedule 2.3: Employee Relations Records, Item 020, Reasonable accommodation records, Reasonable accommodation program files, and Item 021, Reasonable accommodation employee case files. Destroy 3 years after being superseded, but longer retention is authorized if required for business use (Item 020). Destroy 3 years after employee separation from the agency or all appeals are concluded, whichever is later, but longer retention is authorized if required for business use (Item 021).

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Records are maintained on paper and electronically. Paper documents are maintained in lockable file cabinets. Electronic files are password protected.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**SYSTEM NAME AND NUMBER:**

Child Care Subsidy Program Records—NRC 12.

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

DecisionPoint Corporation, 702 Russell Ave., Suite 312, Gaithersburg, MD 20877

**SYSTEM MANAGER(S):**

Associate Director for Human Resources Operations and Policy, Office of the Chief Human Capital Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

40 U.S.C. 590(g); 5 CFR 792.201-206; Executive Order (E.O.) 9397, as amended by E.O. 13478; Social Security Number Fraud Prevention Act of 2017, 42 U.S.C. 405 note.

**PURPOSE(S) OF THE SYSTEM:**

The purpose of this system is to administer NRC-sponsored childcare program.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

NRC employees who voluntarily apply for childcare subsidy.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

These records include application forms for child care subsidy containing personal information about the employee (parent), their spouse (if applicable), their child/children, and their child care provider, including name, social security number, employer, grade, home and work telephone numbers, home and work addresses, total

family income, name of child on whose behalf the parent is applying for subsidy, child's date of birth; information on child care providers used, including name, address, provider license number and State where issued, childcare cost, and provider tax identification number; and copies of IRS Form 1040 or 1040A for verification purposes.

**RECORD SOURCE CATEGORIES:**

Information is obtained from NRC employees who apply for childcare subsidy and their childcare provider.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

a. A record from this system of records may be disclosed as a routine use to the Office of Personnel Management to provide statistical reports;

b. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

c. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency to obtain information relevant to an NRC decision concerning hiring or retaining an employee, letting a contract, or issuing a



security clearance, license, grant or other benefit;

d. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency requesting a record that is relevant and necessary to its decision on a matter of hiring or retaining an employee, issuing a security clearance, reporting an investigation of an employee, letting a contract, or issuing a license, grant, or other benefit;

e. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury

f. or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

g. A record from this system of records may be disclosed as a routine use to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual;

h. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a "need-to-know" basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

i. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government,

or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

j. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records are maintained on paper and electronic media at the current contractor site.

**POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Information may be retrieved by employee name or social security number.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained under the National Archives and Records Administration's General Records Schedule 2.4: Employee Compensation and Benefits Records, Item 120, Childcare subsidy program administrative records. Destroy when 3 years old, but longer retention is authorized if required for business use. Childcare subsidy program individual case files are retained under General Records Schedule 2.4, Item 121. Destroy 2 years after employee participation concludes, but longer retention is authorized if required for business use.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

When not in use by an authorized person, paper records are stored in lockable

filecabinets and computer records are protected by the use of passwords.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**SYSTEM NAME AND NUMBER:**

Employee Assistance Program Records—NRC 14.

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

Office of the Chief Human Capital Officer, NRC, Two White Flint North, 11545 Rockville Pike, Rockville, Maryland, and current contractor facility.

**RECORD SOURCE CATEGORIES:**

Information compiled by the Employee Assistance Program contractor during the course of counseling with an NRC employee or family members of the employee.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 7901; 21 U.S.C. 1101-1181; 42 U.S.C. chapter 6A, Subchapter III-A; 44

U.S.C. 3101; 44 U.S.C. 3301; 5 CFR 792.101-105.

**PURPOSE(S) OF THE SYSTEM:**

This record system will maintain information gathered by and in the possession of the NRC's EAP contractor. The EAP is an agency program designed to assist employees of the NRC and, in certain instances, their family members, in regard to a variety of personal and/or work-related issues.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

NRC employees or family members who have been counseled by or referred to the Employee Assistance Program (EAP) for problems relating to alcoholism, drug abuse, job stress, chronic illness, family or relationship concerns, and emotional and other similar issues.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system contains records of NRC employees or their family members who have participated in the EAP and the results of any counseling or referrals which may have taken place. The records may contain information as to the nature of each participant's problem, subsequent treatment, and progress.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING**

**CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses: (Note: Any disclosure of information pertaining to an individual will be made in compliance with the Confidentiality of Substance Use Disorder Patient Records regulations, 42 CFR part 2, as authorized by 42 U.S.C. 290dd-2, as amended).

- a. For statistical reporting purposes;
- b. To appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and
- c. To another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records are maintained on paper in file folders and on electronic media.

**POLICIES AND PRACTICES FOR RETREIVAL OF RECORDS:**

Information accessed by the EAP identification number and name of the individual.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained under the National Archives and Records Administration's General Records Schedule 2.7: Employee Health and Safety Records, Employee Assistance Program (EAP) counseling records, Item 091, Records not related to

performance or conduct. Destroy 7 years after termination of counseling for adults or 3 years after a minor reaches the age of majority, or when the state-specific statute of limitations has expired for contract providers subject to state requirements, but longer retention is authorized if needed for business use.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Files are maintained in a safe under the immediate control of the Employee Assistance Program contractor. Case files are maintained in accordance with the confidentiality requirements of P.L. 93-282, any NRC-specific confidentiality regulations, and the Privacy Act of 1974.

**SYSTEM MANAGER(S):**

1) Associate Director for HR Operations and Policy and 2) the Program Specialist, Office of the Chief Human Capital Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**SYSTEM NAME AND NUMBER:**

Facility Operator Licensees Records (10 CFR Part 55)—NRC 16.

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

For power reactors, at the appropriate Regional Office at the address listed in Addendum I, Part 2; for non-power (test and research) reactor facilities, at the Operator Licensing and Human Factors Branch, Division of Reactor Oversight, Office of Nuclear Reactor Regulation, NRC, One White Flint North, 11555 Rockville Pike, Rockville, Maryland. The Reactor Program System – Operator Licensing (RPS-OL) is located at NRC Headquarters and is accessible by the four Regional Offices.

**SYSTEM MANAGER(S):**

Chief, Operator Licensing and Human Factors Branch, Division of Reactor Oversight, Office of Nuclear Reactor Regulation, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

42 U.S.C. 2131-2141; 10 CFR part 55.

**PURPOSE(S) OF THE SYSTEM:**

The purpose of the system is to record information associated with individual operator licenses; including initial applications, examination results, license issuance, license renewals, license expirations, and medical status.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals licensed under 10 CFR part 55, applicants whose applications are being processed, and individuals whose licenses have expired.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

These records contain information pertaining to 10 CFR part 55 applicants for a license, licensed operators, and individuals who previously held licenses. This includes applications for a license, license and denial letters, and related correspondence; correspondence relating to actions taken against a licensee; 10 CFR 50.74 notifications; certification of medical examination and related medical information; fitness for duty information; examination results and other docket information.

**RECORD SOURCE CATEGORIES:**

Information in this system comes from the individual applying for a license, the 10 CFR part 50 licensee, a licensed physician, and NRC and contractor staff.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

- a. To determine if the individual meets the requirements of 10 CFR part 55 to take an examination or to be issued an operator's license;
- b. To provide researchers with information for reports and statistical evaluations related to selection, training, and examination of facility operators;
- c. To provide examination, testing material, and results to facility management;
- d. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or



prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

e. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency to obtain information relevant to an NRC decision concerning hiring or retaining an employee, letting a contract, or issuing a security clearance, license, grant or other benefit;

f. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

g. A record from this system of records may be disclosed as a routine use to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual;

h. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a "need-to-know" basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

i. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC

(including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

j. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records are maintained on paper in file folders and logs, and on electronic media.

**POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Records are accessed by name and docket number and ADAMS accession number.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained under the Nuclear Regulatory Commission's (NRC) NUREG 0910Rev 4 - (2.18.6.a, 2.25.9.a), Headquarters and Regional Operator Licensing Files, 10 CFR part 55 Docket Files. Cutoff files upon latest license expiration/revocation/termination, application denial or withdrawal, or issuance of denial letter. Destroy when 10 years old. Examination Package records are retained under NUREG 0910 Rev 4 – (2.18.6.b(1), 2.18.6.b(4), 2.25.9.b(1), 2.25.9.b(4)). Cutoff upon receipt of next exam. Destroy 4 years after cutoff.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Maintained in locked file cabinets or an area that is locked. Computer files are passwordprotected. Access to and use of these records is limited to those persons whose official duties require such access based on roles and responsibilities.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**SYSTEM NAME AND NUMBER:**

Office of the Inspector General (OIG) Investigative Records—NRC and Defense Nuclear Facilities Safety Board (DNFSB) – NRC 18.

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

Office of the Inspector General, NRC, One White Flint North, 11555 Rockville Pike, Rockville, Maryland

**SYSTEM MANAGER(S):**

Assistant Inspector General for Investigations, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Inspector General Act of 1978, as amended, 5 U.S.C. app. 3; and the Consolidated Appropriations Act, 2014.

**PURPOSE(S) OF THE SYSTEM:**

NRC OIG uses records and information collected and maintained in this system to receive and adjudicate allegations/complaints of violations of criminal, civil, and administrative laws and regulations relating to NRC programs, operations, and employees, as well as contractors and other individuals and entities associated with NRC; monitor complaint and investigation assignments, status, disposition, and results; manage investigations and information provided during the course of such investigations; track and assess actions taken by NRC management regarding employee misconduct and other allegations; support and assess legal actions taken following referrals for criminal prosecution or litigation; provide information relating to any adverse action or other proceeding that may occur as a result of the findings of an investigation.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals and entities referred to in complaints or actual investigative cases, reports, accompanying documents, and correspondence prepared by, compiled by, or referred to the OIG.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system comprises five parts: (1) An automated Investigative Database Program containing reports of investigations, inquiries, and other reports closed since

1989; (2) paper files of all OIG and predecessor Office of Inspector and Auditor (OIA) reports, correspondence, cases, matters, memoranda, materials, legal papers, evidence, exhibits, data, and work papers pertaining to all closed and pending investigations, inquiries, and other reports; (3) an automated Investigative Management System that includes allegations referred to the OIG from 1985 forward, whether or not the allegation progressed to an investigation, inquiry or other report, and dates that an investigation, inquiry or other report was opened and closed and reports, correspondence, cases, matters, memoranda, materials, legal papers, evidence, exhibits, data and work papers pertaining to these cases.

**RECORD SOURCE CATEGORIES:**

The information is obtained from sources including, but not limited to, the individual record subject; NRC officials and employees; employees of Federal, State, local, and foreign agencies; and other persons.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, OIG may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

- a. To any Federal, State, local, tribal, or foreign agency, or other public authority responsible for enforcing, investigating, or prosecuting violations of administrative, civil, or criminal law or regulation if that information is relevant to any enforcement, regulatory, investigative, or prosecutorial responsibility of the receiving entity when records from this system of records, either by themselves or in combination with any other information, indicate a violation or potential violation of law, whether

administrative, civil, criminal, or regulatory in nature;

b. To public or private sources to the extent necessary to obtain information from those sources relevant to an OIG investigation, audit, inspection, or other inquiry;

c. To a court, adjudicative body before which NRC or DNFSB is authorized to appear, Federal agency, individual or entity designated by NRC or DNFSB or otherwise empowered to resolve disputes, counsel or other representative, or witness or potential witness when it is relevant and necessary to the litigation if any of the parties listed below is involved in the litigation or has an interest in the litigation:

1. NRC or DNFSB, or any component of NRC or DNFSB;

2. Any employee of NRC or DNFSB where the NRC or DNFSB or the Department of Justice has agreed to represent the employee; or

3. The United States, where NRC or DNFSB determines that the litigation is likely to affect the NRC or DNFSB or any of their components;

d. To a private firm or other entity with which OIG or NRC or DNFSB contemplates it will contract or has contracted for the purpose of performing any functions or analyses that facilitate or are relevant to an investigation, audit, inspection, inquiry, or other activity related to this system of records, to include to contractors or entities who have a need for such information or records to resolve or support payment to the agency. The contractor, private firm, or entity needing access to the records to perform the activity shall maintain Privacy Act safeguards with respect to information. A contractor, private firm, or entity operating a system of records under 5 U.S.C. 552a(m) shall comply with the Privacy Act;

e. To another agency to the extent necessary for obtaining its advice on any matter relevant to an OIG investigation, audit, inspection, or other inquiry related to the responsibilities of the OIG;

f. To the National Archives and Records Administration or to the General Services Administration for records management inspections conducted under 44 U.S.C. 2904 and 2906;

g. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

h. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency to obtain information relevant to an NRC decision concerning hiring or retaining an employee, letting a contract, or issuing a security clearance, license, grant or other benefit;

i. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency requesting a record that is relevant and necessary to its decision on a matter of hiring or retaining an employee, issuing a security clearance, reporting an investigation of an employee, letting a contract, or issuing a license, grant, or other benefit;

j. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

k. A record from this system of records may be disclosed as a routine use to

a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual;

l. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a "need-to-know" basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

m. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

n. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Information is maintained in paper files and on electronic media.



## **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Information is retrieved from the Investigative Database Program by the name of an individual, by case number, or by subject matter. Information in the paper files backing up the Investigative Database Program and older cases closed by 1989 is retrieved by subject matter and/or case number, not by individual identifier. Information in both the Allegations Tracking System and the Investigative Management System is retrieved by allegation number, case number, or name.

## **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained according to the National Archives and Records Administration's approved schedule for the Office of the Inspector General, N1-431-10-002, item 2.b, Investigation Case Files. Cut off at close of fiscal year in which the case is closed. Transfer to the Federal Records Center (FRC) 3 years after cutoff. Transfer to National Archives and Records Administration 20 years after cutoff. Retain an electronic copy until no longer needed (Allegation records will be managed in the corresponding Investigation Case File).

Referred Allegations are retained under the National Archives and Records Administration's approved schedule, N1-431-10-002, item 2.a.ii. Cut off allegation file at the end of the fiscal year when the issue described in the Referral Letter is resolved. Hold allegation file in the OIG for a minimum of 2 years after cutoff. Destroy 10 years after cutoff.

Closed Allegations are retained under the National Archives and Records Administration's approved schedule, N1-431-10-002, item 2.a.iii. Cut off allegation files at the end of the fiscal year in which the allegation is closed. Destroy the allegation file 5 years after cutoff.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Access to the automated Investigative Database Program is password protected. Both the Allegations Tracking System and the Investigative Management System are accessible from terminals that are double-password-protected. Paper files backing up the automated systems and older case reports and work papers are maintained in approved security containers and locked filing cabinets in a locked room; associated indices, records, diskettes, tapes, etc., are stored in locked metal filing cabinets, safes, storage rooms, or similar secure facilities. All records in this system are available only to authorized personnel who have a need to know and whose duties require access to the information.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures." Information classified under Executive Order 12958 will not be disclosed. Information received in confidence will be maintained under the Inspector General Act, 5 U.S.C. app. 3, and the Commission's Policy Statement on Confidentiality, Management Directive 8.8, "Management of Allegations."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Under 5 U.S.C. 552a(j)(2), the Commission has exempted this system of records from subsections (c)(3) and (4), (d)(1)-(4), (e)(1)-(3), (5), and (8), and (g) of the Act. This exemption applies to information in the system that relates to criminal law enforcement and meets the criteria of the (j)(2) exemption. Under 5 U.S.C. 552a(k)(1), (k)(2), (k)(5), and (k)(6), the Commission has exempted portions of this system of records from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f).

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

*Disclosure Pursuant to 5 U.S.C. 552a(b)(12):*

Disclosure of information to a consumer reporting agency is not considered a routine use of records. Disclosures may be made from this system to “consumer reporting agencies” as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) (1970)) or the Federal Claims Collection Act of 1966, as amended (31 U.S.C. 3701(a)(3) (1996)).

**SYSTEM NAME AND NUMBER:**

Official Personnel Training Records—NRC 19.

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

Primary system located at the NRC’s current contractor facility on behalf of the Office of the Chief Human Capital Officer, NRC, Two White Flint North, 11545 Rockville Pike, Rockville, Maryland.

The Office of the Inspector General (OIG) employee files are located with the OIG at NRC, One White Flint North, 11555 Rockville Pike, Rockville, Maryland.

Duplicate system—Duplicate systems exist, in part, at the Technical Training Center, Regional Offices, and within the organization where the NRC employee works, at the locations listed in Addendum I, Parts 1 and 2.

**SYSTEM MANAGER(S):**

Associate Director for Training and Development, Office of the Chief Human Capital Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.  
For OIG employee records: Director, Resource Management and Operations Support, Office of the Inspector General, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 3396; 5 U.S.C. 4103; Executive Order (E.O.) 9397, as amended by E.O. 13478; E.O. 11348, as amended by E.O. 12107; 5 CFR parts 410 and 412.

**PURPOSE(S) OF THE SYSTEM:**

This record system will collect, and document training given to NRC employees, contractors, and others who are provided NRC training. This system will provide NRC with a means to track the particular training that is provided, identify training trends, monitor and track the expenditure of training, schedule training classes and programs, schedule instructors, track training items issued to students, assess the effectiveness of training, identify patterns, respond to requests for information related to the training of NRC personnel and other individuals.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who applied or were selected for NRC, other Government, or non-Government training courses or programs.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

These records contain information relating to an individual's educational background and training courses including training requests and authorizations,

evaluations, supporting documentation, and other related personnel information, including but not limited to, an individual's name, address, telephone number, position title, organization, and grade.

**RECORD SOURCE CATEGORIES:**

Information is provided by the subject individual, the employee's supervisor, and training groups, agencies, or educational institutions and learning activities.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

a. Information may be extracted from the records and made available to the Office of Personnel Management; other Federal, State, and local government agencies; educational institutions and training facilities for purposes of enrollment and verification of employee attendance and performance;

b. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

c. A record from this system of records may be disclosed as a routine use to a Congressional office from the record of an individual in response to an inquiry from the

Congressional office made at the request of that individual;

d. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a "need-to-know" basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

e. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

f. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Records are maintained on paper in file folders and on electronic media.

**POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Information is accessed by name, user identification number, course number,

or course session number.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained under the National Archives and Records Administration's General Records Schedule 2.6: Employee Training Records, Item 010, Non-mission employees training program records. Destroy when 3 years old, or 3 years after superseded or obsolete, whichever is appropriate, but longer retention is authorized if required for business use.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Electronic records are maintained in a password protected computer system. Paper is maintained in lockable file cabinets and file rooms. Access to and use of these records is limited to those persons whose official duties require such access, with the level of access controlled by roles and responsibilities.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**SYSTEM NAME AND NUMBER:**

Payroll Accounting Records—NRC 21.

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

Primary system—Division of the Comptroller, Office of the Chief Financial Officer, NRC, Two White Flint North, 11545 Rockville Pike, Rockville, Maryland. NRC has an interagency agreement with the Department of the Interior's Interior Business Center (DOI/IBC), Federal Personnel/Payroll System (FPPS), in Denver, Colorado, to maintain electronic personnel information and perform payroll processing activities for its employees as of November 2, 2003.

Duplicate system—Duplicate systems exist, in part, within the organization where the employee actually works for administrative purposes, at the locations listed in Addendum I, Parts 1 and 2.

**SYSTEM MANAGER(S):**

Chief, Financial Services and Operations Branch, Division of the Comptroller, Office of the Chief Financial Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

26 CFR 31.6011(b)-2, 31.6109-1; 5 U.S.C. 6334; 5 U.S.C. part III, subpart D; 31 U.S.C. 716; 31 U.S.C., subtitle III, chapters 35 and 37; Executive Order (E.O.) 9397, as amended by E.O. 13478; Social Security Number Fraud Prevention Act of 2017, 42 U.S.C. 405 note.

**PURPOSE(S) OF THE SYSTEM:**

The purpose of this system is to ensure proper payment of salary and benefits



to NRC personnel, and to track time worked, leave, or other absences for reporting and compliance purposes.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Current and former NRC employees, including special Government employees (i.e. consultants).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Pay, leave, benefit enrollment and voluntary allowance deductions, and labor activities, which includes, but is not limited to, an individual's name and social security number.

**RECORD SOURCE CATEGORIES:**

Information in this system of records is obtained from sources, including but not limited to, the individual to whom it pertains, the Office of the Chief Human Capital Officer and other NRC officials, and other agencies and entities.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In accordance with an interagency agreement the NRC may disclose records to the DOI/IBC FPPS in order to affect all financial transactions on behalf of the NRC related to employee pay. Specifically, the DOI/IBC's FPPS may affect employee pay or deposit funds on behalf of NRC employees, and/or it may withhold, collect or offset funds from employee salaries as required by law or as necessary to correct overpayment or amounts due.

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the subject individual if the disclosure is compatible with the purpose for which the record was collected under the following routine uses; or, where determined

to be appropriate and necessary, the NRC may authorize DOI/IBC to make the disclosure:

- a. For transmittal of data to U.S. Treasury to effect issuance of paychecks to employees and consultants and distribution of pay according to employee directions for savings bonds, allotments, financial institutions, and other authorized purposes including the withholding and reporting of Thrift Savings Plan deductions to the Department of Agriculture's National Finance Center;
- b. For reporting tax withholding to Internal Revenue Service and appropriate state and local taxing authorities;
- c. For FICA and Medicare deductions to the Social Security Administration;
- d. For dues deductions to labor unions;
- e. For withholding for health insurance to the insurance carriers by the Office of Personnel Management;
- f. For charity contribution deductions to agents of charitable institutions;
- g. For annual W-2 statements to taxing authorities and the individual;
- h. For transmittal to the Office of Management and Budget for financial reporting;
- i. For withholding and reporting of retirement, tax levies, bankruptcies, garnishments, court orders, re-employed annuitants, and life insurance information to the Office of Personnel Management;
- j. For transmittal of information to State agencies for unemployment purposes;
- k. For transmittal to the Office of Child Support Enforcement, Administration for Children and Families, Department of Health and Human Services Federal Parent Locator System and Federal Tax Offset System for use in locating individuals and identifying their income sources to establish paternity, establish and modify orders of

support, and for enforcement action;

l. For transmittal to the Office of Child Support Enforcement for release to the Social Security Administration for verifying social security numbers in connection with the operation of the Federal Parent Locator System by the Office of Child Support Enforcement;

m. For transmittal to the Office of Child Support Enforcement for release to the Department of Treasury for the purpose of administering the Earned Income Tax Credit Program (Section 32, Internal Revenue Code of 1986) and verifying a claim with respect to employment in a tax return;

n. To the National Archives and Records Administration or to the General Services Administration for records management inspections conducted under 44 U.S.C. 2904 and 2906;

o. Time and labor data are used by the NRC as a project management tool in various

management records and reports (i.e. work performed, work load projections, scheduling, project assignments, budget), and for identifying reimbursable and fee billable work performed by the NRC;

p. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

q. A record from this system of records may be disclosed as a routine use to a

Federal, State, local, or foreign agency to obtain information relevant to an NRC decision concerning hiring or retaining an employee, letting a contract, or issuing a security clearance, license, grant or other benefit;

r. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency requesting a record that is relevant and necessary to its decision on a matter of hiring or retaining an employee, issuing a security clearance, reporting an investigation of an employee, letting a contract, or issuing a license, grant, or other benefit;

s. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

t. A record from this system of records may be disclosed as a routine use to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual;

u. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a "need-to-know" basis for a

v. purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the

suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

#### **POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Information is maintained on electronic media (stored in memory, on disk, and magnetictape), on microfiche, and in paper copy.

Electronic payroll, time, and labor records prior to November 2, 2003, are maintained in the Human Resources Management System (HRMS), the PAY PERS Historical database reporting system, and on microfiche at NRC. Electronic payroll records from November 2, 2003, forward are maintained in the DOI/IBC's FPPS in Denver, Colorado. Time and labor records are maintained in the HRMS at NRC.

#### **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Information is accessed by employee identification number, name and social security number.

#### **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records are retained under the National Archives and Records Administration's

General Records Schedule 2.4: Employee Compensation and Benefits Records, Item 010, Records used to calculate payroll, arrange paycheck deposit, and change previously issued paychecks. Destroy 2 year after employee separation or retirement, but longer retention is authorized if required for business use. Records are also retained under General Records Schedule 2.4, item 020, Tax withholding and adjustment documents. Destroy 4 years after superseded or obsolete, but longer retention is authorized if required for business use. Records are also retained under General Records Schedule 2.4, item 030, Time and attendance records. Destroy after GAO audit or when 3 years old, whichever is sooner. Records are also retained under General Records Schedule 2.4, item 040, Agency payroll record for each pay period. Destroy when 56 years old. Records are also retained under General Records Schedule 2.4, item 050, Wage and tax statements. Destroy when 4 years old, but longer retention is authorized if required for business use. Payroll program administrative records are retained under General Records Schedule 2.4, item 060, Administrative correspondence between agency and payroll processor, and system reports used for agency workload and or personnel management purposes. Destroy when 2 years old, but longer retention is authorized if required for business use. Payroll system reports providing fiscal information on agency payroll are retained under General Records Schedule 2.4, item 061. Destroy when 3 years old or after GAO audit, whichever comes sooner, but longer retention is authorized if required for business use.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Records are maintained in buildings where access is controlled by a security guard force. File folders, microfiche, tapes, and disks, including backup data, are maintained in secured locked rooms and file cabinets after working hours. All records

are in areas where access is controlled by keycard and is limited to NRC and contractor personnel who need the information to perform their official duties. Access to computerized records requires use of proper passwords and user identification codes.

**RECORD ACCESS PROCEDURES:**

Same as "Notification procedures."

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

*Disclosure pursuant to 5 U.S.C. 552a(b)(12):*

Disclosures of information to a consumer reporting agency are not considered a routine use of records. Disclosures may be made from this system to "consumer reporting agencies" as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f) (1970)) or the Federal Claims Collection Act of 1966, as amended (31 U.S.C. 3701(a)(3) (1996)).

**SYSTEM NAME AND NUMBER:**

Case Management System - Indices, Files, and Associated Records—NRC 23.

**SECURITY CLASSIFICATION:**

Unclassified

**SYSTEM LOCATION:**

Primary system— NRC Data Center, 11555 Rockville Pike, Rockville, Maryland.

**SYSTEM MANAGER(S):**

For OI Records - Director, Office of Investigations, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

For OE Records – Director, Office of Enforcement, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

42 U.S.C. 2035(c); 42 U.S.C. 2201(c); and 42 U.S.C. 5841; 10 CFR 1.36; 10 CFR 1.33.

**PURPOSE(S) OF THE SYSTEM:**

NRC OI uses records and information collected and maintained in this system to receive and adjudicate allegations of violations of criminal, civil, and administrative laws and regulations relating to NRC programs, operations, and employees, as well as contractors and other individuals and entities associated with NRC; monitor complaint and investigation assignments, status, disposition, and results; manage investigations and information provided during the course of such investigations; audit actions taken by NRC management regarding employee misconduct and other allegations.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals and entities referred to in potential or actual investigations and matters of concern to the Office of Investigations and correspondence on matters directed or referred to the Office of Investigations.



**CATEGORIES OF RECORDS IN THE SYSTEM:**

Agency case files, memoranda, and materials including, but not limited to, investigative reports, confidential source information, correspondence to and from the agency, fiscal data, legal papers, evidence, exhibits, technical data, investigative data, internal data, work papers, audio files, and management information data.

**RECORD SOURCE CATEGORIES:**

Information is obtained from sources including, but not limited to, NRC officials, employees, and licensees; Federal, State, local, and foreign agencies; and other persons.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

In addition to the disclosures permitted under subsection (b) of the Privacy Act, the NRC may disclose information contained in this system of records without the consent of the person or entities mentioned therein if the disclosure is compatible with the purpose for which the record was collected under the following routine uses:

k. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency or to an individual or organization if the disclosure is reasonably necessary to elicit information or to obtain the cooperation of a witness or an informant;

l. A record relating to an investigation or matter falling within the purview of the Office of Investigations may be disclosed as a routine use to the referring agency, group, organization, or individual;

m. A record relating to an individual held in custody pending arraignment, trial, or sentence, or after conviction, may be disclosed as a routine use to a Federal, State, local, or foreign prison, probation, parole, or pardon authority, to any agency or

individual concerned with the maintenance, transportation, or release of such an individual;

n. A record in the system of records relating to an investigation or matter may be disclosed as a routine use to a foreign country under an international treaty or agreement;

o. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign law enforcement agency to assist in the general crime prevention and detection efforts of the recipient agency or to provide investigative leads to the agency;

p. A record from this system of records which indicates a violation of civil or criminal law, regulation or order may be referred as a routine use to a Federal, State, local or foreign agency that has authority to investigate, enforce, implement or prosecute such laws. Further, a record from this system of records may be disclosed for civil or criminal law or regulatory enforcement purposes to another agency in response to a written request from that agency's head or an official who has been delegated such authority;

q. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency to obtain information relevant to an NRC decision concerning hiring or retaining an employee, letting a contract, or issuing a security clearance, license, grant or other benefit;

r. A record from this system of records may be disclosed as a routine use to a Federal, State, local, or foreign agency requesting a record that is relevant and necessary to its decision on a matter of hiring or retaining an employee, issuing a security clearance, reporting an investigation of an employee, letting a contract, or issuing a license, grant, or other benefit;

s. A record from this system of records may be disclosed as a routine use in the course of discovery; in presenting evidence to a court, magistrate, administrative tribunal, or grand jury or pursuant to a qualifying order from any of those; in alternative dispute resolution proceedings, such as arbitration or mediation; or in the course of settlement negotiations;

t. A record from this system of records may be disclosed as a routine use to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual;

u. A record from this system of records may be disclosed as a routine use to NRC-paid experts or consultants, and those under contract with the NRC on a "need-to-know" basis for a purpose within the scope of the pertinent NRC task. This access will be granted to an NRC contractor or employee of such contractor by a system manager only after satisfactory justification has been provided to the system manager;

v. A record from this system of records may be disclosed as a routine use to appropriate agencies, entities, and persons when (1) NRC suspects or has confirmed that there has been a breach of the system of records, (2) NRC has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, NRC (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with NRC efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and

w. A record from this system of records may be disclosed as a routine use to another Federal agency or Federal entity, when the NRC determines that information

from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

**POLICIES AND PRACTICES FOR STORAGE OF RECORDS:**

Information maintained on paper and/or electronic records, photographs, audio/video tapes, and electronic media.

**POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:**

Information retrieved by document text and/or case number/allegation number.

**POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:**

Records for this system are scheduled using NRC's NUREG 0910 Revision 4 and the National Archives and Records Administration's approved scheduled N1-431-01-001 for the Office of Investigations.

Official investigation cases created by field investigator, all records/documents will be uploaded electronically into the OI Case Management system (or another electronic system designated at that time) and are considered official OI records. The selected records for permanent retention are scheduled under NUREG 0910, Revision 4, 2.16.4.a (GRS 5.2, item 020). Cut off files when case is closed. Create electronic record on the day created or received or as soon as practical and upload appropriate official files in the system.

Allegation Case Files, per NARA Approved Citation, N1-431-00-8, Item 1.d, Cut off files upon final resolution of allegation. Retain in the Office of Enforcement (OE) for 2 years or until no longer needed for current activities. Destroy 10 years after cut off.

Working copies can be destroyed upon final resolution of allegations, based on GRS 5.2 Item 020, Intermediary Records.

**ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:**

Hard copy files maintained in approved security containers and locking filing cabinets. All records are under visual control during duty hours and are available only to authorized personnel who have a need to know and whose duties require access to the information. The electronic management information system is operated within the NRC's secure LAN/WAN system. Access rights to the system only available to authorized personnel.

**RECORDS ACCESS PROCEDURES:**

Same as "Notification procedures." Information classified under Executive Order 12958 will not be disclosed. Information received in confidence will be maintained under the Commission's Policy Statement on Confidentiality, Management Directive 8.8, "Management of Allegations," and the procedures covering confidentiality in Chapter 7 of the Office of Investigations Procedures Manual and will not be disclosed to the extent that disclosure would reveal a confidential source.

**CONTESTING RECORD PROCEDURES:**

Same as "Notification procedures."

**NOTIFICATION PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about them should write to the Freedom of Information Act or Privacy Act Officer, Office of the Chief Information Officer, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and comply with the procedures contained in NRC's Privacy Act regulations, 10 CFR part 9.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Pursuant to 5 U.S.C. 552a(k)(1), (k)(2), and (k)(6), the Commission has exempted portions of this system of records from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I),and (f).

## **Addendum I—List of U.S. Nuclear Regulatory Commission Locations**

### Part 1—NRC Headquarters Offices

1. One White Flint North, 11555 Rockville Pike, Rockville, Maryland.
2. Two White Flint North, 11545 Rockville Pike, Rockville, Maryland.

### Part 2—NRC Regional Offices

1. NRC Region I, 2100 Renaissance Boulevard, Suite 100, King of Prussia, Pennsylvania.
2. NRC Region II, Marquis One Tower, 245 Peachtree Center Avenue N.E., Suite 1200, Atlanta, Georgia.
3. NRC Region III, 2443 Warrenville Road, Suite 210, Lisle, Illinois.
4. NRC Region IV, 1600 East Lamar Boulevard, Arlington, Texas.
5. NRC Technical Training Center, Osborne Office Center, 5746 Marlin Road, Suite 200, Chattanooga, Tennessee.