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# U.S. Nuclear Regulatory Commission

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## **Privacy Impact Assessment FOIAXpress Office of the Chief Information Officer (OCIO)**

**Version 2.2  
02/14/2025**

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| Privacy Impact Assessment | 02/14/2025  |

## Document Revision History

| Date       | Version | PIA Name/Description               | Author         |
|------------|---------|------------------------------------|----------------|
| 02/14/2025 | 2.2     | Annual Review – Minor edits        | Lezlie Colbert |
| 4/15/2024  | 2.1     | Annual Review- Minor edits to POCs | Lezlie Colbert |
| 3/31/2023  | 2.0     | FOIAXpress Initial Review          | Lezlie Colbert |

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*The agency is subject to the requirements of the E-Government Act and is committed to identifying and addressing privacy risks whenever it develops or makes changes to its information systems. The questions below help determine any privacy risks related to the E-Government Act or later guidance by the Office of Management and Budget (OMB) and the National Institute of Standards and Technology (NIST).*

**Name/System/Subsystem/Service Name:** FOIAXpress-Business Application Support System (BASS) subsystem.

**Data Storage Location (i.e., Database Server, SharePoint, Cloud, Other Government Agency, Power Platform)** FedRAMP authorized cloud

**Date Submitted for review/approval:** 3/10/2025

*Note: When completing this PIA do not include any information that would raise security concerns or prevent this document from being made publicly available.*

# 1 Description

**1.1 Provide the description of the system/subsystem, technology (i.e., Microsoft Products), program, or other data collections (hereinafter referred to as “project”). Explain the reason the project is being created.**

FOIAXpress supports the NRC Freedom of Information Act/Privacy Act (FOIA/PA) program. FOIAXpress is a cloud-based application managed by Opexus. The SaaS application can be securely accessed online through the Opexus FedRAMP, DISA Level II-certified cloud.

FOIAXpress is the primary FOIA and PA request case management system for the NRC. In addition, it is the official record repository for the NRC’s FOIA and PA requests. It is also a workflow system that streamlines FOIA request tracking and management to facilitate greater requester interaction. It includes a records retention module that automates when cases can be removed from the system in accordance with records retention schedules.

FOIAXpress stores FOIA requests and appeals, responsive records, notes, and other information related to the processing of a FOIA/PA request, appeal, or consultation from another federal agency. Members of the NRC FOIA Team and other personnel with system access can assign, track, and monitor tasks; calculate fees; generate reports; and store responsive records. These functions streamline and help automate business processes associated with the administration of NRC’s FOIA program.

Additionally, FOIAXpress provides a centralized location for receiving FOIA and PA requests, delivering responsive records, and communicating with requesters. It has two modules. The first is the Public Access Link (PAL), a web portal that allows members of the public to electronically submit and track the status of their FOIA or PA requests.

PAL has a payment connector that integrates with Pay.gov, which enables the NRC to accept online payments for FOIA processing. Individuals can create a PAL account with a unique login ID and password and submit requests for information electronically through a link. Requesters

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may also attach supporting documentation to their request and directly download the documents through PAL if/when the documents are released by the NRC. The PAL portion of FOIAXpress is publicly accessible online; however, requesters do not have the ability to directly access the FOIAXpress system or other data stored in the system. Only authorized NRC FOIA personnel have access to the data supplied by requesters via FOIAXpress.

The second module of FOIAXpress is Electronic Document Review (EDR). EDR facilitates the review and redaction process by leveraging technology to quickly filter, de-duplicate, rank, and categorize responsive content in large volumes of emails, attachments, as well as various file types. The module is an internal part of FOIAXpress and can only be accessed by authorized NRC FOIA personnel; no member of the public can access it.

**Please mark appropriate response below if your project/system will involve the following:**

|  |  |
|--|--|
| <input type="checkbox"/> PowerApps                         | <input type="checkbox"/> Server/Database Design      |
| <input checked="" type="checkbox"/> Dashboard              | <input checked="" type="checkbox"/> Public Website   |
| <input type="checkbox"/> SharePoint                        | <input checked="" type="checkbox"/> Internal Website |
| <input checked="" type="checkbox"/> Cloud Service Provider | <input type="checkbox"/> Other <please explain >     |

**1.2 Does this privacy impact assessment (PIA) support a proposed new project, proposed modification to an existing project, or other situation? Select options that best apply in table below.**

Mark appropriate response.

| Status Options                      |   |
|-------------------------------------|---|
| <input type="checkbox"/>            | New system/project  |
| <input checked="" type="checkbox"/> | Modification to an existing system/project.<br><i>If modifying or making other updates to an existing system/project, provide the ADAMS ML of the existing PIA and describe the modification.</i><br>ML23094A278. Minor edits |
| <input checked="" type="checkbox"/> | Annual Review<br><i>If making minor edits to an existing system/project, briefly describe the changes below.</i><br>The number of staff on the FOIA Contract Team.  |
| <input type="checkbox"/>            | Other (explain)   |

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**1.3 Points of Contact:** (Do not adjust or change table fields. Annotate N/A if unknown. If multiple individuals need to be added in a certain field, please add lines where necessary.)

|                                | <b>Project Manager</b> | <b>System Owner/Data Owner/Steward</b>         | <b>ISSM</b>       | <b>Business Project Manager</b> | <b>Technical Project Manager</b> | <b>Executive Sponsor</b> |
|--------------------------------|------------------------|--|-------------------|---------------------------------|----------------------------------|--------------------------|
| <b>Name</b>                    | Lezlie Colbert         | Jonathan Feibus                                | Consuell a Debnam | Lezlie Colbert                  | Lezlie Colbert                   | N/A                      |
| <b>Office/Division /Branch</b> | OCIO/DIME/FLICB/FT     | Office of the Chief Information Officer (OCIO) | OCIO/CISD         | OCIO/DIME/FLICB/FT              | OCIO/DIME/FLICB/FT               |                          |
| <b>Telephone</b>               | 301-415-3722           | 301-415-0717                                   | 301-287-0834      | 301-415-3722                    | 301-415-3722                     |                          |

## 2 Authorities and Other Requirements

**2.1 What specific legal authorities and/or agreements permit the collection of information for the project?**

*Provide all statutory and regulatory authorities for operating the project, including the authority to collect the information; NRC internal policy is not a legal authority. Please mark appropriate response in table below.*

| <b>Mark with an "X" on all that apply.</b> | <b>Authority</b>                                       | <b>Citation/Reference</b>   |
|--|--|---|
| <input checked="" type="checkbox"/>        | <b>Statute</b>   | Freedom of Information Act (5 U.S.C. §552, as Amended by Public Law No. 104-231, 110 Stat. 3048) and the FOIA Improvement Act of 2016 (P.L. 114-185 (June 30, 2016))<br>Memorandum for the Heads of Executive Departments and Agencies: Open Government Directive, M-10-06 (December 8, 2009)<br><br>Privacy Act of 1974 (5 U.S.C. § 552a)<br>Clinger Cohen (40 U.S.C. 11318)<br>The Economy Act (31 U.S.C. § 1535, 1536) |
| <input type="checkbox"/>                   | <b>Executive Order</b>                                 |   |
| <input checked="" type="checkbox"/>        | <b>Federal Regulation</b>                              | 10 CFR Part 9, Subpart A: Freedom of Information Act Regulations<br><br>10 CFR Part 9, Subpart B: Privacy Act Regulations   |
| <input type="checkbox"/>                   | <b>Memorandum of Understanding/Agreement</b>           |   |
| <input type="checkbox"/>                   | <b>Other (summarize and provide a copy of relevant</b> |   |

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| Mark with an<br>"X" on all that<br>apply. | Authority | Citation/Reference |
|---|-----------|--------------------|
|   | portion)  |                    |

**2.2 Explain how the information will be used under the authority listed above (i.e., enroll employees in a subsidies program to provide subsidy payment).**

The FOIA allows members of the public to request access to records from federal agencies to learn about their government. Federal agencies are required to disclose any information requested under the FOIA unless it falls under one of nine exemptions which protect interests such as personal privacy, national security, privileged, commercial, financial and law enforcement information.

The Privacy Act allows members of the public to request information held about themselves by the Federal government. The FOIAXpress and PAL applications, which are used by the NRC to track FOIA and Privacy Act requests, collect personally identifiable information (PII) from an individual Privacy Act requester for the purpose of identifying records contained within an NRC System of Records pertaining to that requester.

FOIA requesters are required to provide their home address and/or email address for the NRC FOIA Team to respond directly to the requester. Additionally, for Privacy Act requests and Privacy Act amendments, to authenticate the individual requester's identity, the NRC may collect the date of birth. For either a FOIA or Privacy Act request, individuals can either create an account in PAL to request copies of records or send the FOIA Team an email to FOIA.Resource@nrc.gov. Regardless of how the NRC FOIA team receives the FOIA or PA request, the requester's name, contact information, and any attached ID verification documents will also be entered in their requester profile in FOIAXpress. Requester profiles can only be viewed by the FOIAXpress authorized users who have a need to know.

Once the FOIA Team receives the FOIA or PA request, it is assigned to a FOIA Specialist who tasks the appropriate program office(s) so that they may conduct a search of their systems to identify any potentially responsive records.

**If the project collects Social Security numbers, state why this is necessary and how it will be used.**

The individual making the FOIA/PA request is required to provide NRC with their name and contact information, such as home address, business name, business address, home phone number, business phone number, cell phone number, home e-mail address, or business e-mail address. The person making the FOIA/PA request may voluntarily provide their social security number as a means of identity verification, but it is not required. FOIA Team members redact the PII on the incoming request to reduce the sensitivity of the information when sharing the incoming request with NRC office(s) who are tasked to locate responsive records to the FOIA/PA request.

### 3 Characterization of the Information

In the table below, mark the categories of individuals for whom information is collected.

| Category of individual              |   |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Federal employees   |
| <input checked="" type="checkbox"/> | Contractors   |
| <input checked="" type="checkbox"/> | Members of the Public (any individual other than a federal employee, consultant, or contractor) |
| <input checked="" type="checkbox"/> | Licensees   |
| <input checked="" type="checkbox"/> | Other   |

In the table below, is a list of the most common types of PII collected. Mark all PII that is collected and stored by the project/system. If there is additional PII not defined in the table below, a comprehensive listing of PII is provided for further reference in ADAMS at the following link: [PII Reference Table](#).

| Categories of Information           |   |                                     |  |
|-------------------------------------|---|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Name  | <input type="checkbox"/>            | Resume or curriculum vitae   |
| <input checked="" type="checkbox"/> | Date of Birth                                 | <input checked="" type="checkbox"/> | Driver's License Number  |
| <input type="checkbox"/>            | Country of Birth                              | <input type="checkbox"/>            | License Plate Number   |
| <input type="checkbox"/>            | Citizenship                                   | <input checked="" type="checkbox"/> | Passport number  |
| <input type="checkbox"/>            | Nationality                                   | <input type="checkbox"/>            | Relatives Information  |
| <input type="checkbox"/>            | Race  | <input type="checkbox"/>            | Taxpayer Identification Number   |
| <input checked="" type="checkbox"/> | Home Address                                  | <input checked="" type="checkbox"/> | Credit/Debit Card Number   |
| <input checked="" type="checkbox"/> | Social Security number (Truncated or Partial) | <input type="checkbox"/>            | Medical/health information   |
| <input type="checkbox"/>            | Sex (Male or Female)                          | <input type="checkbox"/>            | Alien Registration Number  |
| <input type="checkbox"/>            | Ethnicity                                     | <input type="checkbox"/>            | Professional/personal references   |
| <input type="checkbox"/>            | Spouse Information                            | <input type="checkbox"/>            | Criminal History   |
| <input checked="" type="checkbox"/> | Personal e-mail address                       | <input type="checkbox"/>            | Biometric identifiers (facial images, fingerprints, iris scans)          |
| <input type="checkbox"/>            | Personal Bank Account Number                  | <input type="checkbox"/>            | Emergency contact e.g., a third party to contact in case of an emergency |
| <input checked="" type="checkbox"/> | Personal Mobile Number/Home Number            | <input type="checkbox"/>            | Accommodation/disabilities information                                   |
| <input type="checkbox"/>            | Marital Status                                | <input type="checkbox"/>            | <b>Other</b> Work Address  |
| <input type="checkbox"/>            | Children Information                          |                                     | Employer Identification Number   |
| <input type="checkbox"/>            | Mother's Maiden Name                          |                                     | Work Email   |



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| Categories of Information |  |  |            |
|---------------------------|--|--|------------|
|                           |  |  | Fax Number |

**3.1 Describe how the data is collected for the project. (i.e., NRC Form, survey, questionnaire, existing NRC files/ databases, response to a background check).**

FOIA/PA requests, appeals and consultations must be submitted in writing and are accepted by mail, or email to FOIA.Resource@nrc.gov, or via completion of request description forms on the Public Access Link public site or via the U.S. Department of Justice's (DOJ) National FOIA Portal (NFP). Requests that come to the NRC through the NFP are sent directly to FOIAXpress either by email or through PAL. Identity verification and release authorization can also be sent to the NRC through the above methods. When requesters submit their initial request using PAL, and select that it is a Privacy Act Request, the system then requires requesters to upload proof of identity. The proof of identity is not required when submitting FOIA or consultation requests. When requesters submit their initial request on FOIA.gov the system allows the requester to upload documentation to verify their identity. Once the documentation is transmitted and received in FOIAXpress, the requester is required to fill out the Form 507 titled "Freedom of Information – Privacy Act Record Request Form" which, after completion, is uploaded to the FOIAXpress by a member of the FOIA Team.

To process a FOIA/PA request, the FOIAXpress system maintains copies of responsive records that have been received by NRC program offices and saved in the system. The system contains the various types of agency records that are generated, received, or maintained by the NRC. These documents consist of legal, investigatory, administrative, or similar nonpublic agency records, which may contain law enforcement related or confidential commercial information, or other types of sensitive non-PII obtained from outside parties, investigatory subjects, or other individuals (e.g., witnesses, complainants, staff from other government entities or Congress, other consumers, or the requester), depending on the type and nature of the record.

**3.2 If using a form (paper or web) to collect the information, provide the form number, title and/or a link to the form.**

- Public Access Link - <https://foia.nrc-gateway.gov/>.
- DOJ's National FOIA Portal for NRC requests - <https://www.foia.gov/request/agency-component/37b76626-93b8-44d1-bba7-2f756f39b9db/>
- NRC 509 - Statement Of Estimated Fees for Freedom of Information Act (FOIA) Request; OMB Number 3150-0043.
- NRC 507 – Identity Verification and/or Third-Party Authorization for Freedom of Information Act/Privacy Act Requests; OMB 3150-0043.
- NRC 629 – Authorization for Payment by Credit Card; OMB Number: 3150-0190.

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The screenshot shows the FOIA.gov website with the 'Make your request' form. The left sidebar contains navigation links for 'Request directions', 'Agency information', 'Nuclear Regulatory Commission', 'Contact information', 'Your request', 'Additional information', 'Fees', 'Request expedited processing', 'Review and submit', and 'Tips for submitting'. The main content area is titled 'Make your request' and 'Step 1 of 6: Contact information'. It includes a blue box with instructions: 'This information is needed so the agency knows where to send the response to your FOIA request. Please note that not all of these fields are required.' Below this are input fields for 'First name', 'Last name', 'Your organization', 'Email address', and 'Phone number'. A 'Submit' button is at the bottom right.

The screenshot shows the second step of the FOIA request form, 'Step 2 of 6: Your request'. The left sidebar is updated with contact information for Jonathan Feltus, Director, and the FOIA Officer. The main content area has a blue box with instructions: 'The description of records you are requesting is very important. Be sure your request is clear and as specific as possible. Do research before you file. Sometimes what you are looking for is already public. You can find out by reaching out to the agency you're interested in or by visiting their website or their FOIA Library.' Below this are input fields for 'Phone number', 'Fax number', 'Mailing address 1', 'Mailing address 2', 'City', 'State or province', 'Zip or postal code', and 'Country'. A 'Return to top' button is at the bottom left.

### 3.3 Who provides the information? Is it provided directly from the individual or a third party.

FOIA and Privacy Act requests come directly from the individual seeking the information, or through their representative.

### 3.4 Explain how the accuracy of the data collection is validated. If the project does not check for accuracy, please explain why.

To validate personal information, the FOIA Team receives ID verification and release authorizations for third-party requesters.

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**3.5 Will PII data be used in a test environment? If so, explain the rationale for this and how the PII information is protected.**

No. For our testing purposes, we have no need to include PII.

**3.6 What procedures are in place to allow the subject individual to correct inaccurate or erroneous privacy information?**

Inaccuracies might be found by the FOIA Specialist on the FOIA Team during the process of responding to a request and gathering the necessary documents. Privacy Act request's identity verification takes place at the initial stages of reviewing an incoming request. FOIA Specialists, as authorized users, can correct inaccurate or erroneous information in FOIAXpress.

## 4 Data Security

**4.1 Describe who has access to the data in the project (i.e., internal NRC, system administrators, external agencies, contractors, public).**

FOIAXpress access is limited to NRC users with a license. The only users are the OCIO FOIA Team, the OCIO DIME Administrative Assistant (who assists with FOIA case intake and close-out tasks), and a few members of OCIO management. The FOIA Team includes contractors and government personnel. Those without a FOIAXpress license cannot access the FOIAXpress system. The PAL web portal only allows the public to create a user profile, submit, and track the status of only their own FOIA/PA requests.

**4.2 If the project/system shares information with any other NRC systems, identify the system, what information is being shared and the method of sharing.**

N/A. FOIAXpress does not share information with any other NRC systems.

**4.3 If the project/system connects, receives, or shares information with any external non-NRC partners or systems, identify what is being shared.**

**If so, identify what agreements are in place with the external non-NRC partner or system in the table below.**

| Agreement Type                      |   |
|-------------------------------------|---|
| <input type="checkbox"/>            | Contract<br>Provide Contract Number:                            |
| <input type="checkbox"/>            | License<br>Provide License Information:                         |
| <input type="checkbox"/>            | Memorandum of Understanding<br>Provide ADAMS ML number for MOU: |
| <input type="checkbox"/>            | Other   |
| <input checked="" type="checkbox"/> | None  |

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**4.4 Describe how the data is accessed and describe the access control mechanisms that prevent misuse.**

FOIAXpress access is limited to NRC users with a license through single sign-on (SSO) to the NRC network. The only users are the OCIO FOIA Team, the OCIO DIME Administrative Assistant (who assists with FOIA case intake and close-out tasks), and a few members of OCIO management. The FOIA Team includes contractors and government personnel. Those without a FOIAXpress license cannot access the FOIAXpress system. In addition, each NRC approved user with access to FOIAXpress has a Personal Identity Verification (PIV) Card, and either IT-II access, L, or Q level clearance.

**4.5 Explain how the data is transmitted and how confidentiality is protected (i.e., encrypting the communication or by encrypting the information before it is transmitted).**

The cloud platform for Opexus eCase permits transport Layer Security 1.2.

**4.6 Describe where the data is being stored (i.e., NRC, Cloud, Contractor Site).**

Data is stored in the FedRAMP approved cloud.

**4.7 Explain if the project can be accessed or operated at more than one location.**

N/A. NRC users can only access FOIAXpress using a NRC GFE laptop either on site or when teleworking when connected to the NRC network via SSO.

**4.8 Can the project be accessed by a contractor? Have the contractors completed an IT-II investigation? Do they possess an NRC badge?**

Yes. The FOIA Team has 5 employees under the FOIA Support Services contract, all with FOIAXpress licenses to perform work under the contract. These contractor employees access the system via SSO with their PIV card credentials (the same access as federal staff users. In addition to the Pathfinders employees, there are two cleared Opexus personnel that have an administrative account to access the system during configuration and implementation efforts.

**4.9 Explain the auditing measures and technical safeguards in place to prevent misuse of data.**

FOIAXpress does have auditing reports built in the application to identify any misuse of the data. The FOIA Team can review the auditing reports daily or weekly, as required. The objects that are available to be audited include administrative level, request level and file cabinet level. FOIAXpress is only accessed by NRC authorized users with a license.

**4.10 Describe if the project has the capability to identify, locate, and monitor (i.e., trace/track/observe) individuals.**

N/A. FOIAXpress does not have the capability to identify, locate, and monitor individuals.

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**4.11 Define which FISMA boundary this project is part of.**

BASS

**4.12 Is there an Authority to Operate (ATO) associated with this project/system?**

| Authorization Status                |   |
|-------------------------------------|---|
| <input type="checkbox"/>            | Unknown   |
| <input type="checkbox"/>            | No<br><br><i>If no, please note that the authorization status must be reported to the Chief Information Security Officer (CISO) and Computer Security Organization (CSO's) Point of Contact (POC) via e-mail quarterly to ensure the authorization remains on track.</i>  |
| <input type="checkbox"/>            | In Progress provide the estimated date to receive an ATO.<br><br>Estimated date:  |
| <input checked="" type="checkbox"/> | Yes - Short Term ATO extended to April 30, 2025, approved by the Chief Information Security Officer (CISO)<br><br>Indicate the data impact levels (Low, Moderate, High, Undefined)<br><br>Confidentiality-Moderate<br><br>Integrity-Moderate<br><br>Availability-Moderate |

**4.13 Provide the NRC system Enterprise Architecture (EA)/Inventory number. If unknown, contact [EA Service Desk](#) to get the EA/Inventory number.**

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## 5 Privacy Act Determination

### 5.1 Is the data collected retrieved by a personal identifier?

Mark the appropriate response.

| Response                            |   |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | <p><b>Yes, the PII is retrieved by a personal identifier (i.e., individual's name, address, SSN, or other unique number, etc.)</b></p> <p><b>List the identifiers that will be used to retrieve the information on the individual.</b><br/> First Name, Last Name, Organization name, email address</p> |
| <input type="checkbox"/>            | <p><b>No, the PII is not retrieved by a personal identifier.</b></p> <p><b>If no, explain how the data is retrieved from the project.</b></p> <p><a href="#">&lt;Insert response here&gt;</a></p>   |

**5.2 For all collections where the information is retrieved by a personal identifier, the Privacy Act requires that the agency publish a System of Record Notice (SORN) in the Federal Register. As per the Privacy Act of 1974, "the term 'system of records' means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some other personal identifier assigned to the individual.**

Mark the appropriate response in the table below.

| Response                            |  |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | <p><b>Yes, this system is covered by an existing SORN. (See existing SORNs: <a href="https://www.nrc.gov/reading-rm/foia/privacy-systems.html">https://www.nrc.gov/reading-rm/foia/privacy-systems.html</a> )</b></p> <p><b>Provide the SORN name, number, (List all SORNs that apply):</b><br/> <b>NRC-10, "Freedom of Information Act (FOIA) and Privacy Act (PA) Request Records"</b></p> |
| <input type="checkbox"/>            | <b>SORN is in progress</b>   |
| <input type="checkbox"/>            | <b>SORN needs to be created</b>  |
| <input type="checkbox"/>            | <b>Unaware of an existing SORN</b>   |
| <input type="checkbox"/>            | <b>No, this system is not a system of records and a SORN is not applicable.</b>  |

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### 5.3 When an individual is asked to provide personal data (i.e., form, webpage, survey), is a Privacy Act Statement (PAS) provided?

*A Privacy Act Statement is a disclosure statement required to appear on documents used by agencies when an individual is asked to provide personal data. It is required for any forms, surveys, or other documents, including electronic forms, used to solicit personal information from individuals that will be maintained in a system of records.*

Mark the appropriate response.

| Options                             |   |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | <b>Privacy Act Statement</b><br><br><b>See: <a href="https://foia.nrc-gateway.gov/">https://foia.nrc-gateway.gov/</a> and <a href="https://www.nrc.gov/readingrm/foia/privacy-foia.html">https://www.nrc.gov/readingrm/foia/privacy-foia.html</a></b> |
| <input type="checkbox"/>            | <b>Not Applicable</b>   |
| <input type="checkbox"/>            | <b>Unknown</b>  |

### 5.4 Is providing the PII mandatory or voluntary? What is the effect on the individual by not providing the information?

Submission of a FOIA/PA request is voluntary. However, depending on the request, the NRC FOIA Team may not be able to process it without PII.

## 6 Records and Information Management-Retention and Disposal

The National Archives and Records Administration (NARA), in collaboration with federal agencies, approves whether records are **Temporary** (eligible at some point for destruction/deletion because they no longer have business value) or **Permanent** (eligible at some point to be transferred to the National Archives because of historical or evidential significance). Records/data and information with historical value, identified as having a “permanent” disposition, are transferred to the National Archives of the United States at the end of their retention period. All other records identified as having a “temporary” disposition are destroyed at the end of their retention period in accordance with the NARA Records Schedule or the General Records Schedule.

These determinations are made through records retention schedules and NARA statutes (44 United States Code (U.S.C.), 36 Code of Federation Regulations (CFR)). Under 36 CFR, agencies are required to establish procedures for addressing Records and Information Management (RIM) requirements. This includes strategies for establishing and managing recordkeeping requirements and disposition instructions before approving new electronic information systems or enhancements to existing systems.

The following questions are intended to determine whether the records/data and information in the system have approved records retention schedules and disposition instructions, whether the

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system incorporates RIM strategies including support for [NARA's Universal Electronic Records Management \(ERM\) requirements](#), and if a mitigation strategy is needed to ensure compliance.

**If the project/system:**

- Does not have an approved records retention schedule and/or
- Does not have an *automated* RIM functionality,
- Involves a cloud solution,
- And/or if there are additional questions regarding Records and Information Management - Retention and Disposal, please contact the NRC Records staff at [ITIMPolicy.Resource@nrc.gov](mailto:ITIMPolicy.Resource@nrc.gov) for further guidance.

**If the project/system has a record retention schedule or an automated RIM functionality, please complete the questions below.**

**6.1 Does this project map to an applicable retention schedule in NRC's Comprehensive Records Disposition Schedule (NUREG-0910), or NARA's General Records Schedules?**

|                                     |  |
|-------------------------------------|--|
| <input type="checkbox"/>            | <a href="#">NUREG-0910, "NRC Comprehensive Records Disposition Schedule"</a> |
| <input checked="" type="checkbox"/> | <a href="#">NARA's General Records Schedules</a>                             |
| <input type="checkbox"/>            | Unscheduled  |

**6.2 If so, cite the schedule number, approved disposition, and describe how this is accomplished.**

|   |   |
|---|---|
| <b>System Name (include sub-systems, platforms, or other locations where the same data resides)</b> | FOIAXpress  |
| <b>Records Retention Schedule Number(s)</b>   | <a href="#">GRS 4.2 Item 020:</a> Access and disclosure request files.<br><a href="#">GRS 4.2 Item 040:</a> Records of accounting for and controlling access to records requested under FOIA, PIA, and MDR.   |
| <b>Approved Disposition Instructions</b>  | <a href="#">GRS 4.2 item 020:</a><br><b>Temporary.</b> Destroy 6 years after final agency action of 3 years after final adjudication by the courts, whichever is later, but longer retention is authorized if required for business use.<br><a href="#">GRS 4.2 item 040:</a><br><b>Temporary.</b> Destroy 90 days after last entry on form, but longer retention is authorized if required for business use. |



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|   |  |
|---|--|
| Is there a current automated functionality or a manual process to support RIM requirements? This includes the ability to apply records retention and disposition policies in the system(s) to support records accessibility, reliability, integrity, and disposition.   | Yes  |
| <p><b>Disposition of Temporary Records</b></p> <p>Will the records/data or a composite be automatically or manually deleted once they reach their approved retention?</p>   | <p>The system maintains a record retention function that can identify records in the below mentioned categories that are ready for disposal. The FOIA team will then manually delete the records.</p> <p><b>Temporary.</b> Destroy 6 years after final agency action or 3 years after final adjudication by the courts, but longer retention is authorized if required for business use.</p> <p><b>Temporary.</b> Destroy 6 years after date of last entry of final action by agency, but longer retention is authorized if required for business use.</p> |
| <p><b>Disposition of Permanent Records</b></p> <p>Will the records be exported to an approved format and transferred to the National Archives based on approved retention and disposition instructions?</p> <p>If so, what formats will be used?<br/> <a href="#">NRC Transfer Guidance (Information and Records Management Guideline - IRMG)</a></p> | <p>N/A. These records are not Permanent.</p>   |

**Note:** Information in *Section 6, Records and Information Management-Retention and Disposal* does not need to be fully resolved for final approval of the privacy impact assessment.

## 7 Paperwork Reduction Act

The Paperwork Reduction Act (PRA) of 1995 requires that agencies obtain an Office of Management and Budget (OMB) approval in the form of a "control number"—before promulgating a paper form, website, surveys, questionnaires, or electronic submission from 10 or more members of the public. If the data collection is from federal employees regarding work-related duties, then a PRA clearance is not necessary.

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**7.1 Will the project be collecting any information from 10 or more persons who are not Federal employees?**

Yes

**7.2 Is there any collection of information addressed to all or a substantial majority of an industry (i.e., Fuel Fabrication Facilities or Fuel Cycle Facilities)?**

No

**7.3 Is the collection of information required by a rule of general applicability?**

Yes, the collection of information using FOIAXpress is included in the clearance for 10 CFR Part 9 under OMB Control Number 3150-0043. FOIAXpress contains the online version of NRC Form 507.

The collection of fees using Pay.gov is covered by the clearance with OMB Control Number 3150-0190.

The collection of social security numbers for dose records is covered by the clearance for NRC Form 4 under OMB Control Number 3150-0005.

*Note: For information collection (OMB clearances) questions: contact the NRC's Clearance*

*Officer. Additional guidance can be found on the NRC's internal Information Collections Webpage at: <https://intranet.nrc.gov/ocio/33456>. Note: For information collection (OMB clearances) questions: contact the NRC's Clearance Officer. Additional guidance can be found on the NRC's internal Information Collections Web page at: <https://intranet.nrc.gov/ocio/33456>.*

***STOP HERE - The remaining pages will be completed by the Privacy Officer, Records Management, and Information Collections Team.***

|                           |             |
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## 8 Privacy Act Determination

**Project/System Name:** FOIAXpress

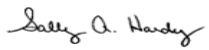
**Submitting Office:** FOIA Team

### Privacy Officer Review

| Review Results                      |   | Action Items  |
|-------------------------------------|---|---|
| <input type="checkbox"/>            | This project/system <b>does not contain PII</b> .   | <b>No further action</b> is necessary for Privacy.                                  |
| <input type="checkbox"/>            | This project/system <b>does contain PII</b> ; the Privacy Act does <b>NOT</b> apply, since information is NOT retrieved by a personal identifier. | <b>Must be protected with restricted access</b> to those with a valid need-to-know. |
| <input checked="" type="checkbox"/> | This project/system <b>does contain PII</b> ; the <b>Privacy Act does apply</b> .   | <b>SORN is required-</b> Information is <b>retrieved</b> by a personal identifier.  |

#### Comments:

Information is covered under System of Records Notice NRC 10 – Freedom of Information Act (FOIA) and Privacy Act (PA) Request Records.

| Reviewer's Name   | Title           |
|---|-----------------|
|  Signed by Hardy, Sally<br>on 04/09/25 | Privacy Officer |


|                           |             |
|---------------------------|-------------|
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## 9 OMB Clearance Determination

### NRC Clearance Officer Review

| Review Results                      |   |
|-------------------------------------|---|
| <input type="checkbox"/>            | No OMB clearance is needed.   |
| <input type="checkbox"/>            | OMB clearance is needed.  |
| <input checked="" type="checkbox"/> | Currently has OMB Clearance. Clearance Nos. 3150-0043, 3150-0190, 3150-0005 |

**Comments:**

| Reviewer's Name  | Title                    |
|--|--------------------------|
|  Signed by Benney, Kristen<br>on 03/18/25 | Agency Clearance Officer |


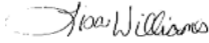
|                           |             |
|---------------------------|-------------|
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## 10 Records Retention and Disposal Schedule Determination

### Records Information Management Review

| Review Results                      |  |
|-------------------------------------|--|
| <input type="checkbox"/>            | No record schedule required.   |
| <input type="checkbox"/>            | Additional information is needed to complete assessment.   |
| <input type="checkbox"/>            | Needs to be scheduled.   |
| <input checked="" type="checkbox"/> | Existing records retention and disposition schedule covers the system - no modifications needed. |

#### Comments:

| Reviewer's Name   | Title  |
|---|--|
|  Signed by Dove, Marna<br>on 04/09/25    | Sr. Program Analyst, Electronic Records<br>Manager |
|  Signed by Williams, Lisa<br>on 04/07/25 | Records and Information Management<br>Specialist   |

|                           |             |
|---------------------------|-------------|
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## 11 Review and Concurrence

| Review Results                      |   |
|-------------------------------------|---|
| <input type="checkbox"/>            | This project/system <b>does not</b> collect, maintain, or disseminate information in identifiable form. |
| <input checked="" type="checkbox"/> | This project/system <b>does</b> collect, maintain, or disseminate information in identifiable form.     |

I concur with the Privacy Act, Information Collections, and Records Management reviews.



Signed by Nalabandian, Garo  
on 04/14/25

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Director  
Chief Information Security Officer  
Cyber Information Security Division  
Office of the Chief Information Officer

|                           |             |
|---------------------------|-------------|
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## ADDITIONAL ACTION ITEMS/CONCERNS

|   |  |
|---|--|
| <b>Name of Project/System:</b>  |  |
| FOIAXpress  |  |
| <b>Date CISC received PIA for review:</b>   | <b>Date CISC completed PIA review:</b> |
| March 10, 2025  | April 9, 2025                          |
| <b>Action Items/Concerns:</b>   |  |
| <p>Due to a recent cybersecurity incident involving the deletion of a database that affected the Opexus FOIAXpress SaaS, NRC is currently investigating the impacts on NRC-specific data and the potential implications for using this service. Once the investigation is concluded, this PIA should be reviewed again to ensure that the assessment accurately reflects the current situation.</p> |  |
| <p><i>Copies of this PIA will be provided to:</i><br/> <i>Jon Feibus</i><br/> <i>Acting Director</i><br/> <i>IT Services Development and Operations Division</i><br/> <i>Office of the Chief Information Officer</i><br/> <i>Katie Harris</i><br/> <i>Acting Deputy</i><br/> <i>Chief Information Security Officer (CISO)</i></p>   |  |
| <p><i>Office of the Chief Information Officer</i></p>   |  |