Privacy Impact Assessment

**Entellitrak Equal
Employment Opportunity (ETK-EEO)**

Office of Small Business and Civil Rights (SBCR)

Office of the Chief Information Officer (OCIO)

Version 2.0
03/11/2025

Template Version 2.4 (10/2024)

Document Revision History

Date	Version	PIA Name/Description	Author
03/11/2025	2.0	Entellitrak Equal Employment Opportunity (ETK-EEO) - Transfer to latest PIA template, updated System Description and types of PII collected	OCIO / SBCR Oasis Systems, LLC
02/20/2025	Draft of v2.0	Entellitrak Equal Employment Opportunity (ETK-EEO) - Transfer to latest PIA template, updated System Description and types of PII collected	OCIO / SBCR Oasis Systems, LLC
09/05/2024	1.0	Entellitrak Equal Employment Opportunity (ETK-EEO) Case Management System Final Release	OCIO/SBCR Oasis Systems, LLC
06/20/2024	DRAFT	Entellitrak Equal Employment Opportunity (ETK-EEO) Case Management System Draft Release	OCIO/SBCR Oasis Systems, LLC

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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: Entellitrak Equal Employment Opportunity (ETK-EEO) Case Management System.

Data Storage Location (i.e., Database Server, SharePoint, Cloud, Other Government Agency, Power Platform): ETK-EEO is hosted in a Government Community Cloud by Tyler Federal**,** a Cloud Service Provider (CSP).

Date Submitted for review/approval: March 13, 2025.

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.

ETK-EEO is a case management system provided to the Nuclear Regulatory Commission (NRC) as a Software as a Service (SaaS) cloud solution by Tyler Federal, LLC. ETK-EEO is hosted in the Tyler Federal Product Suite (TFPS), a multi-tenant Government-Only cloud computing environment that is authorized by the Federal Risk and Authorization Management Program (FedRAMP). TFPS consists of the Application Platform – Case Management Development Platform powered by Entellitrak. The Application Platform provides all of the functionality required to collect, track, manage, process, and report on information regarding a business process such as EEO complaints.

The NRC's Office of Small Business and Civil Rights (SBCR) uses ETK-EEO to manage Equal Employment Opportunity (EEO) complaints for all individuals who file informal and formal EEO complaints against the NRC and to comply with the Equal Employment Opportunity Commission's (EEOC's) regulations as set forth in the Code of Federal Regulations (CFR) governing Federal Sector EEO complaint processing (29 CFR Part 1614 Federal Sector Equal Employment Opportunity) and the Notification and Federal Antidiscrimination and Retaliation Act of 2002 (No FEAR Act), as amended by the Elijah E. Cummings Federal Employee Antidiscrimination Act of 2020.

NRC employees (current and former) and job applicants can use the EEO eFile Portal website to initiate a request for EEO counseling, submit information about their informal EEO complaint, and view the status of their EEO case(s).

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

☐	PowerApps	☐	Server/Database Design
☐	Dashboard	☐	Public Website
☐	SharePoint	☐	Internal Website
☒	Cloud Service Provider	☐	Other

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	
☐	New system/project
☐	Modification to an existing system/project. *If modifying or making other updates to an existing system/project, provide the ADAMS ML of the existing PIA and describe the modification.*
☒	Annual Review *If making minor edits to an existing system/project, briefly describe the changes below.* Updated to the new PIA template; updated the following sections: System Description to reference the TFPS Application Platform, the types of PII collected by the system, and Section 3.6.
☐	Other (explain)

1.3 Points of Contact:

Role	Contact Information Name Office/Division/Branch Phone Number
Project Manager(s)	Stephen Smith Office of Small Business & Civil Rights (SBCR) / Civil Rights Program (CRP) 301-415-0192
System Owner/Data Owner or Steward	Vonna Ordaz SBCR 301-415-7380
ISSM	Natalya Bobryakova

Role	Contact Information Name Office/Division/Branch Phone Number
	Office of the Chief Information Officer (OCIO) / Cyber and Information Security Division (CISD) / Information Assurance and Oversight Branch (IAOB) 301-287-0671
Executive Sponsor	Vonna Ordaz SBCR 301-415-7380
Other	Meredith Neubauer (Business Project Manager) SBCR/CRP 301-415-0587

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.

Mark with an "X" on all that apply.	Authority	Citation/Reference
☒	**Statute**	Notification and Federal Antidiscrimination and Retaliation Act of 2002 (No FEAR Act), as amended by the Elijah E. Cummings Federal Employee Antidiscrimination Act of 2020
☐	**Executive Order**	
☒	**Federal Regulation**	29 CFR Part 1614, "Federal Sector Equal Employment Opportunity"
☐	**Memorandum of Understanding/Agreement**	
☐	**Other (summarize and provide a copy of relevant 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*)**.**

SBCR staff use ETK-EEO and the data collected to:

- manage and track informal and formal EEO complaints
- review the status of open cases
- analyze trends with EEO activity
- prepare and submit annual reports to Congress and to the EEOC

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

N/A.

3 Characterization of the Information

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

Category of individual	
☒	Federal employees
☒	Contractors
☒	Members of the Public (any individual other than a federal employee, consultant, or contractor)
☐	Licensees
☐	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 2023.

Categories of Information			
☒	Name	☐	Resume or curriculum vitae
☒	Date of Birth	☐	Driver's License Number
☐	Country of Birth	☐	License Plate Number
☐	Citizenship	☐	Passport number
☒	Nationality	☐	Relatives Information

Categories of Information		
☒ Race	☐	Taxpayer Identification Number
☒ Home Address	☐	Credit/Debit Card Number
☐ Social Security number (Truncated or Partial)	☐	Medical/health information
☒ Sex	☐	Alien Registration Number
☒ Ethnicity	☐	Professional/personal references
☐ Spouse Information	☐	Criminal History
☒ Personal e-mail address	☐	Biometric identifiers (facial images, fingerprints, iris scans)
☐ Personal Bank Account Number	☐	Emergency contact e.g., a third party to contact in case of an emergency
☐ Personal Mobile Number/Home Number	☒	Accommodation/disabilities information
☒ Marital Status	☒	Other: grade/step/series/salary, religion, national origin, age, disability, including identifying physical or mental impairments.
☐ Children Information		
☐ Mother's Maiden Name		

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).

Information is collected directly from an individual. The subject individual can submit an informal complaint through the ETK-EEO eFile Portal website or contact an SBCR counselor to file the complaint.

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.

N/A.

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

The information is self-reported by the subject individual.

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

The information is self-reported by the subject individual; therefore, SBCR does not question the accuracy of the data unless there is a reason to do so.

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.

N/A.

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

Individuals need to contact SBCR with the requests for correction of inaccurate or erroneous information within their EEO cases that they created with eFile.

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).

Only SBCR Civil Rights Program staff and onsite support contractor(s), if any, have access to the data in ETK-EEO.

The complainants who used eFile to submit complaints have access only to their own EEO case(s) in eFile.

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.

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

Yes, the project/system connects, receives, or shares information with the following external non-NRC partners or systems.

- EEOC - The EEOC Office of Federal Operations (OFO) is provided with the agency's Annual Federal Equal Employment Opportunity Statistical Report of Discrimination Complaints (EEOC Form 462) that outlines the EEO complaint activities carried out

during that reporting period to ensure compliance with this requirement. In addition, the EEOC is provided with the Reports of Investigation (ROI) supporting each complaint when the request for a hearing or an appeal is filed by the complainant and/or their attorney. The EEOC Form 462 Report is a summary of statistical data pertaining to formal complaints and does not contain PII. ROIs include compiled data from the investigation and do contain PII.

The data provided in the EEOC Form 462 Report contain:

- o the number of cases at different stages of the investigation process
- o the EEO bases involved in each case
- o the status of the cases, including findings of discrimination or no discrimination, for each case
- o the costs associated with processing the cases, including settlements, investigations, or other miscellaneous costs
- o data related to processing times (e.g., how long a case was in the informal complaint stage or how long an investigation took to complete)

- Congress, other Federal agencies, and the public - Congress, EEOC, Department of Justice (DOJ), Merit Systems Protection Board (MSPB), Office of Special Counsel (OSC), Office of Personnel Management (OPM), and members of the public may have access to view redacted information pertaining to EEO complaint activities of the NRC on a need-to-know basis.

- Complainants and/or their attorneys - Complainants and/or their attorneys may obtain a copy of the ROI, but they will not have direct access to ETK-EEO.

- SBCR shares the EEO complaint information with Mind Your Business, Inc., a small business company that provides non-personnel services to assist SBCR staff with the investigation and resolution of EEO complaints.

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

Agreement Type	
☒	Contract Provide Contract Number: 31310022C0009 (Mind Your Business, Inc.)
☐	License Provide License Information:
☐	Memorandum of Understanding Provide ADAMS ML number for MOU:
☐	Other
☐	None

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

SBCR staff access ETK-EEO by utilizing a multi-factor authentication mechanism provided by the agency's Identity, Credential, and Access Management (ICAM) Authentication Gateway. NRC users must use their NRC-issued PIV cards or One-Time Password (OTP) credentials to authenticate to ETK-EEO via the ICAM Authentication Gateway. ICAM ensures that individuals who access NRC computer systems and services have been appropriately vetted for access.

For the eFile system, access control mechanisms are implemented by Tyler Federal. The eFile users must complete eFile registration to create their accounts in eFile. The eFile users authenticate to eFile using their self-created Username and Password.

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 ETK-EEO and eFile web applications allow only secure web connections via the Hypertext Transfer Protocol Secure (HTTPS) that uses encryption for secure communication over the Internet.

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

ETK-EEO is hosted by Tyler Federal in a FedRAMP authorized cloud environment that includes the alternate processing site and the alternate storage site for the production application data.

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

N/A.

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. Tyler Federal is an external service provider and is responsible for the development and maintenance of ETK-EEO. The Tyler Federal staff that access NRC data in ETK-EEO are not NRC badged but they have been vetted through NRC personnel security requirements.

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

SBCR relies on Tyler Federal to employ auditing measures and technical safeguards to prevent misuse of data. The Tyler Federal Information Technology (IT) Operations and Maintenance Team reviews/analyzes audit records for indications of inappropriate or unusual network activity on a weekly basis. At the application level, the SBCR administrator reviews auditable events, audit logs, and audit reporting records for indications of inappropriate or unusual activity at least daily.

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

N/A.

4.11 Define which FISMA boundary this project is part of.

ETK-EEO is a subsystem of the NRC's Third-Party System (TPS).

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

Authorization Status	
☐	Unknown
☐	No *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.*
☐	In Progress provide the estimated date to receive an ATO. Estimated date:
☒	Yes Indicate the data impact levels (Low, Moderate, High, Undefined) approved by the Chief Information Security Officer (CISO) Confidentiality-Moderate Integrity-Moderate 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.

ETK-EEO is a subsystem of TPS. The EA number for TPS is 20180002.

5 Privacy Act Determination

5.1 Is the data collected retrieved by a personal identifier?

Mark the appropriate response.

	Response
☒	**Yes, the PII is retrieved by a personal identifier (i.e., individual's name, address, SSN, or other unique number, etc.)** **List the identifiers that will be used to retrieve the information on the individual.** The information is retrieved by individual's name and NRC case number.
☐	**No, the PII is not retrieved by a personal identifier.** **If no, explain how the data is retrieved from the project.**

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
☒	***Yes, this system is covered by an existing SORN. (See existing SORNs: https://www.nrc.gov/reading-rm/foia/privacy-systems.html)*** ***Provide the SORN name, number, (List all SORNs that apply):*** Government-wide SORN: EEOC/GOVT-1 (Equal Employment Opportunity in the Federal Government Complaint and Appeal records)
☐	**SORN is in progress**
☐	**SORN needs to be created**
☐	**Unaware of an existing SORN**
☐	**No, this system is not a system of records and a SORN is not applicable.**

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
☒	**Privacy Act Statement** Privacy Act Statement is provided on the eFile login page.
☐	**Not Applicable**
☐	**Unknown**

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

N/A.

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 system incorporates RIM strategies including support for <u>NARA's Universal Electronic Records Management (ERM) requirements</u>, 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** 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?

☐	NUREG-0910, "NRC Comprehensive Records Disposition Schedule
☒	NARA's General Records Schedules
☐	Unscheduled

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

System Name (include sub-systems, platforms, or other locations where the same data resides)	ETK-EEO
Records Retention Schedule Number(s)	GRS 2.3 item 110, EEO discrimination complaint case files. Informal process. GRS 2.3 item 111, EEO discrimination complaint case files. Formal process. GRS 2.3 item 120, Records documenting contractor compliance with EEO regulation.
Approved Disposition Instructions	**Item 110 - Disposition instruction**: Temporary. Destroy 3 years after resolution of case, but longer retention is authorized if required for business use. **Item 111 - Disposition instruction:** Temporary. Destroy 7 years after resolution of case, but longer retention is authorized if required for business use. **Item 120 – Temporary.** Destroy when 7 years old, but longer retention is authorized if required for business use.

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.	Entellitrak Equal Employment Opportunity (ETK-EEO) will be assessed using the Records and Information (RIM) Certification process. The structured process will provide criteria aligned with the Suggested Rating to accurately reflect the system's ability to support records management requirements.
Disposition of Temporary Records Will the records/data or a composite be automatically or manually deleted once they reach their approved retention?	Entellitrak Equal Employment Opportunity (ETK-EEO) will be assessed using the Records and Information (RIM) Certification process. The structured process will provide criteria aligned with the Suggested Rating to accurately reflect the system's ability to support records management requirements. Manually
Disposition of Permanent Records Will the records be exported to an approved format and transferred to the National Archives based on approved retention and disposition instructions? If so, what formats will be used? **NRC Transfer Guidance (Information and Records Management Guideline - IRMG)**	N/A. No Permanent records.

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.

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

Yes, the project will collect information from 10 or more persons who are not Federal employees.

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)?

N/A.

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

No.

8 Privacy Act Determination

Project/System Name: Entellitrak Equal Employment Opportunity (ETK-EEO)
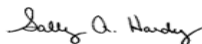
Submitting Office: Office of Small Business and Civil Rights (SBCR)

Privacy Officer Review

	Review Results	Action Items
☐	This project/system **does not contain PII.**	**No further action** is necessary for Privacy.
☐	This project/system **does contain PII**; the Privacy Act does **NOT** apply, since information is NOT retrieved by a personal identifier.	**Must be protected with restricted access** to those with a valid need-to-know.
☒	This project/system **does contain PII**; the **Privacy Act does apply**.	**SORN is required-** Information is **retrieved** by a personal identifier.

Comments:

Covered by Government-wide SORN: EEOC/GOVT-1 (Equal Employment Opportunity in the Federal Government Complaint and Appeal records).

Reviewer's Name	Title
Sally A. Hardy Signed by Hardy, Sally on 04/14/25	Privacy Officer

9 OMB Clearance Determination

NRC Clearance Officer Review

Review Results
☐   No OMB clearance is needed.
☐   OMB clearance is needed.
☒   Currently has OMB Clearance. Clearance No. _____3150-0259_____

Comments:

Reviewer's Name	Title
Signed by Benney, Kristen on 03/20/25	Agency Clearance Officer
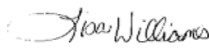
10 Records Retention and Disposal Schedule Determination

Records Information Management Review

Review Results	
☐	No record schedule required.
☐	Additional information is needed to complete assessment.
☐	Needs to be scheduled.
☒	Existing records retention and disposition schedule covers the system - no modifications needed.

Comments:

Reviewer's Name	Title
Marna B. Dove Signed by Dove, Marna on 04/10/25	Sr. Program Analyst, Electronic Records Manager
Lisa Williams Signed by Williams, Lisa on 04/08/25	Records and Information Management Specialist

11 Review and Concurrence

	Review Results
☐	This project/system **does not** collect, maintain, or disseminate information in identifiable form.
☒	This project/system **does** 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

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

ADDITIONAL ACTION ITEMS/CONCERNS

Name of Project/System: **Entellitrak Equal Employment Opportunity (ETK-EEO)**	
Date CISD received PIA for review: March 18, 2025	**Date CISD completed PIA review:** April 10, 2025
Action Items/Concerns:	