

**National Oceanic and Atmospheric Administration
(NOAA)**

**Oceanic and Atmospheric Research (OAR)
Financial Data Management System (FDMS)**



FDMS Privacy Impact Assessment Statement

Prepared by: Eugene Burger, FDMS Project Leader

Reviewed by: Sarah Brabson, NOAA Office of the Chief Information Officer

NOAA Oceanic and Atmospheric Research (OAR) Financial Data Management System (FDMS)

Privacy Impact Assessment Statement

Project: Financial Data Management System (FDMS)

ID Number: 006-03-02-00-01-0511-04-404-139

Project Description

The Financial Data Management System (FDMS) is the Oceanic and Atmospheric Research (OAR) budget management system. OAR is one of six line offices of the National Oceanic and Atmospheric Administration (NOAA), and its mission is to provide the research foundation for understanding the complex systems that support our planet. There are approximately 1,600 OAR Federal employees and contractors, and the annual OAR budget is \$390 million. The FDMS application is used with the Commerce Business System (CBS) applications as the OAR commitment tracking system to manage financial and budgetary matters relating to OAR. FDMS is not a personnel management system.

1. What information is to be collected (e.g., nature and source)?

Most data in the FDMS are downloaded from the Commerce Business System (CBS) Data Warehouse and the National Finance Center (NFC). Some data, especially data about non-federal employees, are entered individually by administrative officers or program managers because the data about these individuals is not already in the CBS or NFC.

FDMS includes selected personnel and payroll data about all OAR federal employees that is downloaded from NFC. The system also includes budgetary and financial data that may relate to the activities of individual employees, such government spending card transactions, budget operating plans, and federal employee labor and travel expenses. This information is downloaded from CBS.

Many non-federal employees work at the OAR laboratories. These individuals are often connected with universities but may also work for other contractor or have individual work contracts with the laboratory. As part of their work, personal information about may need to be entered into the FDMS. This personal data is limited to name, date of birth, and social security number. The information for these individuals is directly entered into the system by FDMS administrative personnel.

2. Why is the information being collected (e.g., to determine eligibility)?

The information is being collected and entered into the system so that OAR can effectively manage its financial and budgetary matters. This includes not only day-to-day operational OAR finances, but is also essential for providing budgetary and financial data to NOAA, the Department of Commerce, and the Congress. Additionally, an effective financial system is critical to ensure accountability for funds, prevent fraud, and support audits and investigations. The budgetary and financial data about individual federal employees and non-federal employees is a necessary component of the system.

Additionally, the identifying information about the individuals allows FDMS administrative personnel to grant the individual access to use the system for selected activities and functions related to his or her job. For example, designation as a requisitioner with authority to procure supplies and equipment up to a specified dollar threshold, or designation of an individual as a project leader with access to the appropriate information. Finally, the entry of an individual's social security number and date of birth is necessary to avoid confusion in case of duplicate or similar names.

3. What is the intended use of the information (e.g., to verify existing data)?

The data is necessary for the effective and efficient management of the OAR budgetary and financial management system, and to allow OAR laboratory employees to conduct their job duties.

4. With whom the information will be shared (e.g., another agency for a specified programmatic purpose)?

Only OAR budget and administrative personnel who have access to FDMS and only administrative users who have been granted access to the employee unit, have access to the data in FDMS. The personal information in the FDMS is used solely for OAR budgetary and financial management activities and is not shared with anyone else in NOAA or the Department of Commerce.

5. What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how individuals can grant consent?

A non-federal employee may decline to provide his or her date of birth or social security number with no adverse consequences for him or her.

6. How will the information be secured (e.g., administrative and technological controls)?

Management Controls:

Access to the FDMS application is controlled at the system level and at the application level. Accordingly, access rights to FDMS must be requested and granted at both levels.

A request for a user account to access the FDMS system must be submitted by the administrative officer or a delegated official from each OAR Laboratory. To obtain access to FDMS, the user's contact information, e.g., name, office, phone number, must be entered into the NOAA electronic employee locator directory. Only after the user has been granted access to FDMS at the system level, will the user be granted access to the specific FDMS module(s), e.g., travel, requisitions, reports, needed to fulfill his or her duties. To ensure that access is appropriately and effectively controlled, access permission is based on a "deny all, grant where needed" policy.

Operational Controls:

Only FDMS system administrators and two FDMS software applications developers have access to the FDMS production servers. FDMS has a separate development and test server that is used for developing and testing. Both servers are subject to the same secure network restrictions and controls.

Technical Controls:

All FDMS servers are secured in their own firewall zone as outlined in the FDMS security plan. The FDMS security plan is reviewed annually by the OAR Chief Information Officer (CIO). FDMS has been certified by the OAR CIO as complying with all NOAA and Commerce security requirements.

7. Is a system of records being created under the Privacy Act, 5 U.S.C. 552a?

No. The existing system of records notice (SORN) for [DEPT-2, Accounts Receivable](#), applies to the personal information in this system.

8. How long will these records be retained?

The retention period for these records is guided by the General Records Schedules (GRS), which are issued by the National Archives and Records Administration (NARA) to provide disposition authorization for records common to several or all agencies of the Federal Government. In accordance with [GRS 20, item 3](#), electronic versions of records scheduled for disposal may be deleted at the expiration of the retention period authorized by the GRS for the equivalent paper copies or when no longer needed, whichever is later. [GRS 3, item 3](#) authorizes the disposal of the equivalent paper copies six years and three months after final payment and closeout of the contract.

Program Contact Person:

Eugene F. Burger
FDMS Project Leader
(206) 526-4586
eugene.burger@noaa.gov