



# USAID System of Records Notice Template

A Mandatory Reference for ADS Chapter 508

Full Revision Date: 03/07/2014

Responsible Office: M/CIO/IA

File Name: 508maa\_030714



Management Bureau/Chief Information Officer/Information Assurance Division  
(M/CIO/IA)

## SYSTEM OF RECORDS NOTICE (SORN)

[Click here to enter text.](#)

**Version:** [Click here to enter text.](#)

## CHANGE HISTORY

The table below identifies all changes incorporated into this template. Baseline changes require review and approval. The version states the number with either D for draft or F for final.

Change #	Date	Version #	Description
1.	Click here to enter a date.	1D	Click here to enter text.
2.	Click here to enter a date.		Click here to enter text.
3.	Click here to enter a date.		Click here to enter text.
	Click here to enter a date.		Click here to enter text.
	Click here to enter a date.		Click here to enter text.

**TABLE OF CONTENTS**

<b>1. INTRODUCTION.....</b>	<b>1</b>
<b>2. CONTACT INFORMATION.....</b>	<b>2</b>
<b>3. INFORMATION.....</b>	<b>3</b>
3.1 System of Records Status .....	3
<b>4. FEDERAL REGISTER NOTICE .....</b>	<b>3</b>
4.1 Notice Heading .....	3
4.2 Action.....	3
4.3 Summary Description .....	4
4.4 Deadline for Submitting Comments and Effective Date .....	4
4.5 Addresses for Submitting Comments .....	4
4.6 Contact for Further Information .....	5
4.7 Supplementary Information .....	5
4.8 Signature Block.....	5
<b>5. SYSTEM OF RECORDS NOTICE .....</b>	<b>6</b>
5.1 USAID System of Records Number .....	6
5.2 System of Records Name.....	6
5.3 System of Records Location.....	6
5.4 Categories of Individuals in System of Records.....	6
5.5 Categories of Records in the System of Records.....	7
5.6 Authority for Maintenance of System of Records .....	7
5.7 Purposes for Creating the System of Records .....	7
5.8 Routine Uses of Records Maintained in the System of Records, Including Categories of Users and the Purposes of Such Uses .....	7
5.9 Disclosure to Consumer Reporting Agencies .....	8
5.10 Storage .....	8
5.11 Retrievability .....	8
5.12 Safeguards.....	8
5.13 Retention and Disposal of the Records in the System of Records.....	9
5.14 System of Records Managers and Address.....	9
5.15 Notification Procedure.....	9
5.16 Records Access Procedures .....	9
5.17 Contesting Records Procedures .....	11
5.18 Record Source Categories.....	11
5.19 Exemptions Claimed for the System of Records .....	11
<b>6. APPENDICES .....</b>	<b>13</b>
6.1 Appendix A System of Records.....	13
6.2 Appendix B System of Records Notices (SORN) .....	14
6.3 Appendix C Creating the SORN.....	17

6.4	Appendix D USAID Standard Routine Uses .....	19
6.5	Appendix E Government-Wide SORNS .....	21
6.6	Appendix F Publishing the SORN.....	28
6.7	Appendix F Publishing the SORN – Flow Chart.....	31

## 1. INTRODUCTION

Pursuant to the Privacy Act, USAID must publish in the *Federal Register* a notice of the existence and character of a system of records when establishing or revising such a system of records. The System of Records Notice (SORN) provides notice to the American public of the existence and character of the system of records.

The USAID Privacy Office is using this System of Records Notice Template to gather information from Program Managers and System of Records Managers in order to create or alter a SORN. The language in some sections is *standard* for all USAID SORNs. Please read the instructions in *blue* to determine which sections you need to complete. For more in-depth instructions on SORNs and how to complete this SORN Template, please see the Appendices.

If you are interested in determining whether a system of records should be deleted, please contact the Privacy Office at [privacy@usaid.gov](mailto:privacy@usaid.gov).

If you have questions about or would like assistance with this SORN Template, the SORN process, or other privacy compliance requirements, please contact the USAID Privacy Office at [privacy@usaid.gov](mailto:privacy@usaid.gov).

## 2. CONTACT INFORMATION

### SYSTEM OF RECORDS MANAGER

Name:  
Title:  
Office Name:  
Office Phone #:  
E-Mail:

*System of Records Manager* means an individual responsible for program and operational management of the records, whether paper or electronic. The System of Records Manager is responsible for ensuring the privacy and security of the PII that their Privacy Act Systems of Records collect, use, maintain, and disseminate and for complying with federal privacy authorities.

### OFFICE OF THE GENERAL COUNSEL

Name:  
Title:  
Office Name:  
Office Phone #:  
E-Mail:

If the System of Records Manager would like a subject-specific attorney to review the draft System of Records Notice, please include that attorney's contact information here.

### OFFICE OF THE GENERAL COUNSEL

Name:  
Title:  
Office Name:  
Office Phone #:  
E-Mail:

This is the USAID attorney who reviews the System of Records Notice for legal issues for the Privacy Office.

### PRIVACY ANALYST

Name:  
Title:  
Office Name:  
Office Phone #:  
E-Mail:

This is the USAID Privacy Office analyst who will assist the System of Records Manager in drafting, processing, and publishing the System of Records Notice.

### 3. INFORMATION

#### 3.1 System of Records Status

- ☐ New System of Records
- ☐ Newly Found System of Records
- ☐ Altered System of Records
- ☐ System of Records Ready to be Deleted

Provide the status of the system of records.

A *new* system of records is created when 1) a program is legally authorized and needs or has a group of records about an individual and retrieves those records by a personal identifier, 2) there is a proposed new use of existing records that is incompatible with the purpose for which the records were originally collected, or 3) there is a new organization of records, resulting in consolidation of two or more existing systems of records into one new ("umbrella") system of records, whenever the consolidation cannot be classified under a current SORN.

A *newly found* system of records occurs when it is discovered that records about individuals are being created and used and that this activity is not covered by a current System of Records Notice. A *newly found* system is considered a *new* system for a Systems of Records Notice.

A significant *alteration* to an existing system or records occurs as a result of a change in the manner in which records are organized or the manner in which records are indexed or retrieved, or a change in the nature or scope of the records.

A system of records is *deleted* when the records are no longer accessed by individuals' names or other identifiers, or whenever it is consolidated with or integrated into another system of records.

### 4. FEDERAL REGISTER NOTICE

#### 4.1 Notice Heading

**AGENCY FOR INTERNATIONAL DEVELOPMENT**

**Privacy Act of 1974; System of Records**

**AGENCY:** United States Agency for International Development

This is the *standard* heading for USAID Systems of Records Notices in the *Federal Register*.

#### 4.2 Action

**ACTION:** [New/Altered/Deleted] System of records.



Provide the appropriate title based on 3.1, above.

### 4.3 Summary Description

**SUMMARY:** The United States Agency for International Development (USAID) is issuing public notice of its intent to alter a system of records maintained in accordance with the Privacy Act of 1974 (5 U.S.C. 552a), as amended, entitled “USAID-[System of Records Number] [System of Records Name]”. This action is necessary to meet the requirements of the Privacy Act to publish in the Federal Register notice of the existence and character of record systems maintained by the agency (5 U.S.C. 522a(e)(4)).

Provide the system of records number and name.

### 4.4 Deadline for Submitting Comments and Effective Date

**DATES:** In accordance with 5 U.S.C. 522a(e)(4) and (11), the public is given a 30-day period in which to comment. Therefore, any comments must be received on or before [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]. Unless comments are received that would require a revision, this altered system of records will become effective on [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

This is the *standard* date section for USAID Systems of Records Notices in the *Federal Register*. The dates will be inserted by the Office of the Federal Register when the Notice is published in the *Federal Register*.

### 4.5 Addresses for Submitting Comments

**ADDRESSES:** You may submit comments:

**Electronic:**

- Federal eRulemaking Portal: <http://www.regulations.gov>. Follow the instructions on the Web site for submitting comments.
- E-mail: [privacy@usaid.gov](mailto:privacy@usaid.gov)

**Paper:**

- Fax: (703) 666–5670.
- Mail: Chief Privacy Officer, United States Agency for International Development, 2733 Crystal Drive, 11th Floor, Arlington, Va. 22202.

This is the *standard* addresses section for USAID Systems of Records Notices in the *Federal Register*.

#### 4.6 Contact for Further Information

**FOR FURTHER INFORMATION CONTACT:** The USAID Privacy Office at United States Agency for International Development, 2733 Crystal Drive, 11th Floor, Arlington, VA 22202; or via email at [privacy@usaid.gov](mailto:privacy@usaid.gov).

This is the *standard* further information section for USAID Systems of Records Notices in the *Federal Register*.

#### 4.7 Supplementary Information

##### SUPPLEMENTARY INFORMATION:

This is a short description of why there is a new, altered, or deleted system of records. What is the reason for the notice, such as what new PII is being collected or what new technology is being used that changes privacy issues related to system of records.

#### 4.8 Signature Block

**Dated:** [DATE SIGNED]

**William Morgan**

*Chief Privacy Officer,  
United States Agency for International Development*

This is the *standard* signature block section for USAID Systems of Records Notices in the *Federal Register*. The date will be inserted when the Chief Privacy Officer signs the document.

## 5. SYSTEM OF RECORDS NOTICE

### 5.1 USAID System of Records Number

USAID-**[##]**

Provide the number of the system of records. If you do not know the number, please contact the USAID Privacy Office at [privacy@usaid.gov](mailto:privacy@usaid.gov).

### 5.2 System of Records Name

**SYSTEM NAME:**

Provide the name of the system of records. This is not the name of the information technology system, but the name of the USAID program and USAID records collected, used, maintained, and disseminated by the program.

Please consider whether one of the government-wide SORNs covers your system of records in whole or in part. For information on the government-wide SORNs, see *Appendix E Government-Wide SORNs*. If a government-wide SORN covers your system of records, you might not need to complete a USAID SORN.

### 5.3 System of Records Location

**SYSTEM LOCATION:**

Specify each address at which the system of records is maintained. Provide the full complete address including postal codes. Include Mission locations and the address of contractors, if any, who may maintain the system or records for USAID. If there are many locations, the list may be added as an appendix.

### 5.4 Categories of Individuals in System of Records

**CATEGORIES OF INDIVIDUALS IN THE SYSTEM:**

Describe the categories of individuals on whom records are maintained in sufficient detail to enable individuals to determine if there is information on them in the system of records. These individuals must be limited to citizens of the United States or aliens lawfully admitted for permanent residence, as well as USAID employees and contractors.

### 5.5 Categories of Records in the System of Records

#### CATEGORIES OF RECORDS IN THE SYSTEM:

Give a brief description of all of the types of personal information in the system of records. For example, name, Social Security Number (SSN), date of birth, medical history, and/or employment history.

### 5.6 Authority for Maintenance of System of Records

#### AUTHORITY FOR MAINTENANCE OF SYSTEM OF RECORDS:

Cite the specific statutes, Executive Orders, or other legal authorities that authorize USAID to maintain the system of records.

Examples of types of citations: 5 U.S.C. sec. 552a(c), (e), (f), and (p); 44 U.S.C. sec. 3501 note; E.O. 12731, 55 FR 42547, 3 CFR, 1990 Comp., p. 306; 22 CFR 215.

### 5.7 Purposes for Creating the System of Records

#### PURPOSE(S):

State the reason(s) for creating the system of records, what the system of records is designed to accomplish, and the uses of the personal information that are internal to USAID.

### 5.8 Routine Uses of Records Maintained in the System of Records, Including Categories of Users and the Purposes of Such Uses

#### ROUTINE USES OF RECORDS MAINTAINED IN THE SYTEM, INCLUDING CATEGORIES OF USERS AND PURPOSEs OF SUCH USE:

In addition to those disclosures generally permitted under 5 U.S.C. § 552a(b), all or a portion of the records contained in this system of records may be disclosed outside USAID as a routine use pursuant to 5 U.S.C. § 552a(b)(3) as follows:

Describe each routine use that will be made of the personal information outside of USAID. Each Routine Use should identify the third party to whom the disclosure is authorized, the type of information to be disclosed, and the

purpose for the disclosure. When deciding on routine uses, please consider the standard routine uses in 6.4 **Appendix D USAID Standard Routine Uses**.

## **5.9 Disclosure to Consumer Reporting Agencies**

### **DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

Describe what information is disclosed to consumer reporting agencies under this system of records. If no information is disclosed, state "These records are not disclosed to consumer reporting agencies."

## **POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

### **5.10 Storage**

#### **STORAGE:**

Describe how records (both electronic and hard copy) for this system of records are stored, such as file folders, file cabinets, disks, magnetic tapes, web applications. If USAID policy defines how this type of information should be stored, state the policy chapter title and section where this information is found. List all media in which records in the System of Records are maintained (file folders, magnetic tape, microform, etc.). Briefly describe how each medium is stored.

### **5.11 Retrievability**

#### **RETRIEVABILITY:**

Describe how records (electronic and hard copy) for this system of records are indexed and retrieved, such as by name, SSN, identification number, or other personal identifier. If agency policy defines how this type of information should be retrieved, state the policy chapter title and section where this information is found.

### **5.12 Safeguards**

#### **SAFEGUARDS:**

Describe how records (electronic and hard copy) for this system of records are safeguarded. That means describing the technical, operational, and physical controls used to protect the records in this system, such as safes, vaults,

locked cabinets or rooms, guards, visitor registers, personnel screening, computer fail safe systems software, and limited access rules and controls. If agency policy defines how this type of information should be safeguarded, state the policy chapter title and section where this information is found. Describe the security policies and essential procedures taken to prevent unauthorized disclosure of the records. Include the categories of USAID employees to whom access is limited.

### **5.13 Retention and Disposal of the Records in the System of Records**

#### **RETENTION AND DISPOSAL:**

Insert NARA-approved retention and disposal schedule or note that NARA approval is being sought/is pending. Provide applicable General Records Schedule. Please confirm with the Office of Records Management or component records management official.

Describe how long PII in this system is retained and how it must be disposed in the various formats as appropriate (electronic, media, or hard copy).

### **5.14 System of Records Managers and Address**

#### **SYSTEM MANAGER(S) AND ADDRESS:**

Give the title and complete business address of the person responsible for the records. Do not give a person's name. Only a USAID employee may be designated as a System of Records Manager.

### **5.15 Notification Procedure**

#### **NOTIFICATION PROCEDURE:**

Same as Record Access Procedures.

This is the standard language for all USAID requests for notification, access, and amendment of records. If you program has additional procedures, you must add a description of those procedures.

### **5.16 Records Access Procedures**

#### **RECORDS ACCESS PROCEDURES:**

Under the Privacy Act, individuals may request access to records about themselves. If an agency or a person, who is not the individual who is the subject of the records, requests access to

records about an individual, the written consent of the individual who is the subject of the records is required.

Requesters may submit requests for records under the Privacy Act in the following four ways: 1) by mail to the USAID FOIA Office, Bureau for Management, Office of Management Services, Information and Records Division, 1300 Pennsylvania Avenue, NW, Room 2.07C – RRB, Washington, DC 20523-2701; 2) via email to [foia@usaid.gov](mailto:foia@usaid.gov); 3) on the USAID Web site at <http://www.usaid.gov/foia-requests>; or 4) by completing the USAID Form 508-2, Privacy Request Form, which is available: a) by writing to the USAID FOIA Office, Bureau for Management, Office of Management Services, Information and Records Division, 1300 Pennsylvania Avenue, NW, Room 2.07C – RRB, Washington, DC 20523-2701; b) via email to [foia@usaid.gov](mailto:foia@usaid.gov); or c) on the USAID Web site at <http://www.usaid.gov/foia-requests>.

Requesters must provide the information that is necessary to identify the records, including the following: Requester's full name; present mailing address; home telephone; work telephone; name of subject, if other than requester; requester relationship to subject; description of type of information or specific records; and purpose of requesting information. Requesters should provide the system of record identification name and number, if known; and, to facilitate the retrieval of records contained in those systems of records which are retrieved by Social Security Numbers, the Social Security Number of the individual to whom the record pertains.

In addition, requesters must include proof of identity information by providing copies of two (2) source documents that must be notarized by a valid (un-expired) notary public. Acceptable proof-of-identity source documents include: an unexpired United States passport; Social Security Card (both sides); unexpired driver's license or identification card issued by a state or United States possession, provided that it contain a photograph; certificate of United States citizenship; certificate of naturalization; card showing permanent residence in the United States; United States alien registration receipt card with photograph; United States military card or draft record; or United States military dependent's identification card.

Requesters must also provide a signed and notarized statement that they are the person named in the request; that they understand that any falsification of their statement is punishable under the provision of 18 USC 1001 by a fine, or by imprisonment of not more than five years or, if the offense involves international or domestic terrorism (as defined in section 2331), imprisonment of not more than eight years, or both; and that requesting or obtaining records under false pretenses is punishable under the provisions of 5 USC 552a(i)(3) as a misdemeanor and by a fine of not more than \$5,000. The notarized statement with an embossed notary seal must be submitted in the original paper to the USAID FOIA Office, Bureau for Management, Office of Management Services, Information and Records Division, 1300 Pennsylvania Avenue, NW, Room 2.07C – RRB, Washington, DC 20523-2701.

This is the *standard* language for all USAID requests for notification, access, and amendment of records. If you program has additional procedures, you must add a description of those procedures.

### 5.17 Contesting Records Procedures

#### CONTESTING RECORDS PROCEDURES:

Individuals seeking to contest or amend records maintained on himself or herself must clearly and concisely state that information is being contested, and the proposed amendment to the information sought. Requests to amend a record must follow the Record Access Procedures above.

This is the *standard* language for all USAID requests for notification, access, and amendment of records. If you program has additional procedures, you must add a description of those procedures.

### 5.18 Record Source Categories

#### RECORDS SOURCE CATEGORIES:

Describe all sources from which the personal information in the system of records is obtained. Provide sources both internal and external to USAID. Sources include, but are not limited to, the individual on whom the records are maintained, previous and current employees, other Federal agencies, State or local government agencies, and/or other persons.

### 5.19 Exemptions Claimed for the System of Records

#### EXEMPTIONS CLAIMED FOR THE SYSTEM:

Under limited circumstances, the Privacy Act permits agencies to exempt a system of records from compliance with the notice and access provisions of the Act.

If the system of records or certain categories of records within the system of records is/are exempt, describe the categories of records that are exempt. Provide the specific exemption that applies to this system under 5 U.S.C § 552a (j) General exemptions or (k) Special exemptions, along with the extent to which information will be withheld. Identify the Privacy Act exemption(s), by subsection of the Act, applicable to the system of records; the provisions of the Act being exempted; and a brief statement of the reason for invoking the exemption. Cite the *Federal Register* issue and page number in which the final rule creating the exemption was published.

If no exemptions are applicable, enter "None".



Please stop here and send this form to the Privacy Office at [privacy@usaid.gov](mailto:privacy@usaid.gov). The Privacy Office will review your information and contact you.



- If more information is needed, the Privacy Office will contact you with questions.
- If this SORN is ready for the approval process, the Privacy Office will send you a clearance form to sign.

## 6. APPENDICES

### 6.1 Appendix A System of Records

USAID is required to conform to the fair information practice principles found in the Privacy Act of 1974. The Privacy Act applies to information that is maintained in a "system of records". A system of records is a group of any records under the control of an agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual. A "record" is information about an individual such as education, financial data, medical history, criminal history, employment history, which information contains the name of the individual or another identifier. An "individual" includes U.S. citizens and lawful permanent residents.

To be considered a system of records within the meaning of the Privacy Act, records that USAID maintains must be retrieved by a person's name or other personal identifying information (referred to as a "personal identifier"). A personal identifier might include an individual's name, address, email address, telephone number, Social Security Number, photograph, biometric information, or any other unique identifier that can be linked to an individual. This means the requirements mandated by the Privacy Act are not applicable to USAID records unless the records are retrieved by a personal identifier.

When establishing or revising a system of records, USAID must publish in the *Federal Register* a notice of the existence and character of the system of records. Mere maintenance of information about an individual is not enough to trigger the SORN requirements of the Privacy Act. To trigger the SORN requirements of the Privacy Act, information must actually be retrieved by a personal identifier. Most IT systems are designed to make records management and retrieval more efficient and less time consuming than a paper file system. In today's IT environment, most systems are designed to retrieve records by multiple identifiers, including by personal identifier. It is important to note that any time an agency retrieves material from a system of records by personal identifier; the requirements of the Privacy Act apply, regardless of whether the records are electronic or paper.

There are three types of systems of records: Internal; Government-wide; and Central.

- Internal systems of records are records created within USAID for its employees or administrative duties or mission and are owned by USAID to cover its internal records. For example, USAID-25 covers Freedom of Information Act, Privacy Act, and Mandatory Declassification Review Requests Records held by USAID.
- Government-wide systems of records are records for which one central federal agency writes the policy but does not have physical custody as a matter of necessity. USAID uses government-wide SORNs to cover Government-wide records systems, when the physical records contained within the system of records belong to USAID and the central federal policy agency still retains some authority over the records. For example, the Office of Personnel Management has policy

making authority over all personnel issues and records, but each federal agency has custody of personnel records for its employees.

- Central systems of records are records for which one agency writes the policy and actually has physical custody, but for which other federal agencies are permitted to maintain copies. The corresponding SORNs are owned by the policy agency, which maintains full responsibility for the central systems of records. For example, STATE-13, Foreign Service Grievance Board Records, covers case-file records regarding Foreign Service personnel of the Department of State, the Agency for International Development, and the U.S. Information Agency (USIA) who have filed a formal grievance with the Foreign Service Grievance Board.

## **6.2 Appendix B System of Records Notices (SORN)**

A System of Records Notice (SORN), which is published in the *Federal Register*, provides notice to the American public of the existence and character of the system of records. The SORN also provides an opportunity for interested persons, the Office of Management and Budget, and Congress to submit written data, views, or arguments to USAID.

USAID must publish a SORN when a new system of Records is created or an existing system of records is changed significantly. USAID must also publish a SORN when it intends to delete a system of records.

### **6.2.1 New Systems of Records Notices**

A New System of Records Notice is published when any one of the following criteria is met:

- A program, authorized by either a new or an existing statute or Executive Order (EO), requires, for its successful accomplishment, the creation and retrieval of individually identifiable records.
- There is a proposed new use for existing records that is incompatible with the purpose for which the records were originally collected. In this case, all individuals covered by the existing system of records must be notified of the new purpose and routine uses for the records in the system of records and must be provided with a new Privacy Act statement.
- There is a new organization of records, resulting in the consolidation of two or more existing systems into one new ("umbrella") system, whenever the consolidation cannot be classified under a current SORN.
- It is discovered that records about individuals are being created and used, and that this activity is not covered by a current, published SORN. (This is a "found system of records"). The Office of Management and Budget (OMB) requires the temporary suspension of data collection and disclosure in this case. (The period of suspension for a found system of records begins as soon as the system of records is "found" and continues through the advanced notice period required for a new system of records.)

- A new organization (configuration) of existing records about individuals, which was not previously subject to the Privacy Act, (i.e., was not a system of records) results in the creation of a system of records.

### 6.2.2 Significantly Altered Systems of Records Notices

An Altered System of Records Notice is published when a significant alteration to an existing system of records occurs as a result of a change in the manner in which records are organized, the manner in which records are indexed or retrieved, or the nature or scope of the records. An Altered SORN is published when any one of the following criteria is met:

- Increase or change in the number or type of individuals on whom records are maintained (Changes involving the number, rather than the type, of individuals about whom records are kept only need to be reported when the change alters the character and purpose of the system of records).
- Expansion of the type or categories of information maintained (For example, if an employee file is expanded to include data on education and training, this is considered an expansion of the "types or categories of information" maintained);
- Alteration of the manner in which the records are organized, indexed, or retrieved so as to change the nature or scope of these records; such as splitting an existing system of records into two or more different systems of records which may occur in a centralization or decentralization of organizational responsibilities.
- Change in the purpose for which information in the system of records is used.
- Changed equipment configuration (that is, hardware or software on which the system of records operates to create the potential for either greater or easier access).
- Change in procedures associated with the system of records in a manner that affects an individual's exercise of his or her rights.

A non-significant change of procedures associated with a system of records requires only a revised SORN to be published in the *Federal Register*. A non-significant change would include technical or clarifying changes. The 30-day public comment period is not required for the revised SORN.

### 6.2.3 Deleted Systems of Records Notices

An Altered System of Records Notice is published when any one of the following criteria is met:

- Records containing personal information are no longer collected, used, maintained, or disseminated.
- The information is no longer accessed by a personal identifier.
- The System of Records is consolidated with another System of Records.

Because records retired to a Federal Records Center are still under the control of USAID, the act of retiring an inactive system of records does not itself constitute a termination of a system of records.

If you are interested in determining whether a system of records should be deleted, please contact the Privacy Office at [privacy@usaid.gov](mailto:privacy@usaid.gov).

## 6.3 Appendix C Creating the SORN

### 6.3.1 Background

When USAID establishes, alters, or deletes a system of records, the Privacy Act requires USAID to create and publish in the *Federal Register* a notice of the existence and character of such system of records. A System of Records Notice (SORN) must include:

1. System of records number;
2. System of records name;
3. System of records location(s);
4. Categories of individuals on whom records are maintained in the system of records;
5. Categories of records maintained in the system of records;
6. Authority for maintenance of the system of records;
7. Purposes of the system of records;
8. Each routine use of the records contained in the system of records, including the categories of users and the purpose of such use;
9. Disclosure to consumer reporting agencies;
10. Policies and practices of the agency regarding:
  - a. Storage,
  - b. Retrievability,
  - c. Safeguards, and
  - d. Retention and disposal of the records;
11. Title and business address of the agency official who is responsible for the system of records;
12. Agency procedures whereby an individual can be notified at his request if the system of records contains a record pertaining to him;
13. Agency procedures whereby an individual can be notified at his request how he can gain access to any record pertaining to him contained in the system of records;
14. Agency procedures whereby an individual can contest the contents of any record pertaining to him contained in the system of records;
15. Categories of sources of records in the system of records; and
16. Any applicable exemptions claimed for the system of records.

This SORN Template is being used to create the SORN for your system of records. The information provided will be used by the Privacy Officer to complete the OMB authorization process and to publish the SORN in the Federal Register and post it on [www.usaid.gov](http://www.usaid.gov).

If you have questions about or would like assistance with this SORN Template, the SORN process, or other privacy compliance requirements please contact the USAID Privacy Office at [privacy@usaid.gov](mailto:privacy@usaid.gov).

### **6.3.2 System of Records Manager**

The System of Records Manager must provide the background and detailed information required by the SORN Template.

### **6.3.3 Privacy Office**

The Privacy Office is available to assist the System of Records Manager in the drafting process. The Privacy Office also ensures that the draft SORN complies with the requirements of the Privacy Act.

### **6.3.4 Using this Word Template**

This SORN form is a fillable Word template, which means that you can fill in the information in the appropriate fields, save the document, and submit the SORN electronically as an e-mail attachment. To create a SORN Word document from this SORN Template, use the following steps:

1. Click on **File** and then **Save As**.
2. In the **Save As** window save your PTA using the name provided; just update the date and version number with D for draft.
3. Then select **Word Document (\*.docx)** from the **Save as type:** drop-down list.

### **6.3.5 Completing the SORN Template**

This SORN Template has various fields to be completed. First, fill in or update the fields on the Title Page, Headers and Footers, and Change History Page.

- Fill in or edit, if appropriate, the Program Name section on the title page. Update the Version number on the title page. The Approved date on the title page will be completed at the end of the process.
- Fill in the Program Name field in the Header, and the Date field in the Footer. The date in the Footer should be the date you send this SORN to the Privacy Office for review.
- Update the Change History page to reflect your new version of this SORN. The date in the Change History should be the date you send this SORN to the Privacy Office for review.

Complete the contact information in Section 2: Contact Information. Insert the appropriate Name, Title, Office Name, Office Phone Number, and E-Mail address for the System of Records Manager and, if appropriate, the USAID attorney who will review the draft SORN for advising the program office.

Continue to Section 3: Information, and answer the questions.

### **6.3.6 Answering the Questions**

When completing this template, please respond to each question as if speaking to a member of the general public who is learning of this system of records for the first time.

- Each question has an answer box. Some answer boxes are simple text boxes, while other answer boxes have items to select, as appropriate.
- The language in some sections is *standard* for all USAID SORNs. Please read the instructions in *blue* to determine which sections you need to complete.
- Answer each question fully and completely and with sufficient detail to permit the public to understand the system of records.
- Spell out each acronym the first time it is used in the SORN.
- Define technical terms or references, and keep in mind readers may not understand technical terms until they are explained.
- Use short and simple sentences.
- Use Spell Check and Grammar Check before submitting the SORN for approval.

#### 6.4 Appendix D USAID Standard Routine Uses

When deciding on routine uses, please consider the following standard routine uses:

- 1) In the event of an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by statute or particular program pursuant thereto, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto;
- 2) To a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information if necessary to obtain information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the approval of a grant or other benefits;
- 3) To a federal agency, in response to its request in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, approval of a grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter;
- 4) To a court, magistrate, or other administrative body in the course of presenting evidence, including disclosures to counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in connection with criminal proceedings, when the USAID is a party to the proceeding or has a significant interest in the proceeding, to the extent that the information is determined to be relevant and necessary;
- 5) To the Department of State and its posts abroad for the purpose of transmission of information between organizational units of the Agency, or for purposes related to the responsibilities of the Department of State in conducting United States foreign policy or protecting United States citizens, such as the assignment of employees to positions abroad,



the reporting of accidents abroad, evacuation of employees and dependents, and other purposes for which officers and employees of the Department of State have a need for the records in the performance of their duties;

- 6) To a foreign government or international agency in response to its request for information to facilitate the conduct of U.S. relations with that government or agency through the issuance of such documents as visas, country clearances, identification cards, drivers' licenses, diplomatic lists, licenses to import or export personal effects, and other official documents and permits routinely required in connection with the official service or travel abroad of the individual and his or her dependents;
- 7) To Federal agencies with which the Agency has entered into an agreement to provide services to assist the Agency in carrying out its functions under the Foreign Assistance Act of 1961, as amended. Such disclosures would be for the purpose of transmission of information between organizational units of the Agency; of providing to the original employing agency information concerning the services of its employee while under the supervision of the Agency, including performance evaluations, reports of conduct, awards and commendations, and information normally obtained in the course of personnel administration and employee supervision; or of providing other information directly related to the purposes of the inter-agency agreement as set forth therein, and necessary and relevant to its implementation;
- 8) To a Member of Congress or a Congressional staff representative of the Member in response to an inquiry from a Member made at the request of an individual who is the subject of the records;
- 9) For medical information, to the medical adviser of any individual submitting a request for access to the record under the Act and 15 CFR part 4b if, in the sole judgment of the Agency, disclosure could have an adverse effect upon the individual, under the provision of 5 U.S.C. 552a(f)(3) and implementing regulations at 15 CFR 4b.6;
- 10) To the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular;
- 11) To the Foreign Service Grievance Board in the course of the Board's consideration of matters properly before it;
- 12) To the Defense Manpower Data Center, Department of Defense and to the U.S. Postal Service, to conduct computer matching programs for the purpose of identifying and locating individuals who are receiving Federal salaries or benefit payment and delinquent in their repayment of debts owed to the U.S. Government under certain programs administered by USAID in order to collect the debts under the provisions of the Debt Collection Act of 1982 (Pub. L. 97-365) by voluntary repayment, or by administrative or salary offset procedures; and to any other Federal agency for the purpose of effecting

administrative or salary offset procedures against a person employed by that agency or receiving or eligible to receive some benefit payments from the agency when USAID as a creditor has a claim against that person. Disclosure of information about persons who are receiving Federal salaries or benefit payments and are delinquent in their repayment of debts owed to the U.S. Government under certain programs administered by USAID may be made to other Federal agencies, but only to the extent of determining whether the person is employed by that agency and if so, effecting administrative or salary offset procedures against the person;

- 13) To the Internal Revenue Service (a) to obtain mailing addresses of debtors in order to collect a Federal debt; and (b) to offset a Federal debt against the debtor's income tax refund;
- 14) To appropriate agencies, entities, and persons when (1) USAID suspects or has confirmed that the security or confidentiality of information in the system of records has been compromised; (2) USAID has determined that as a result of the suspected or confirmed compromise there is a risk of harm to economic or property interests, identity theft or fraud, or harm to the security or integrity of this system or other systems or programs (whether maintained by the USAID or another Agency or entity) that rely upon the compromised information; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with USAID's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm;
- 15) To appropriate agencies, entities, and persons when (1) USAID suspects or has confirmed that the security or confidentiality of information in the system of records has been compromised; (2) USAID has determined that as a result of the suspected or confirmed compromise there is a risk of harm to economic or property interests, identity theft or fraud, or harm to the security or integrity of this system or other systems or programs (whether maintained by the USAID or another Agency or entity) that rely upon the compromised information; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with USAID's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

## 6.5 Appendix E Government-Wide SORNS

The following are the government-wide SORNS possibly applicable to USAID systems of records. If you would like a copy of any of these government-wide SORNS, please contact the Privacy Office at [privacy@usaid.gov](mailto:privacy@usaid.gov).

### **Equal Employment Opportunity Commission (EEOC)**

**EEOC/GOVT-1 - Equal Employment Opportunity in the Federal Government Complaint and Appeal Records, 67 FR 49338, 49354 (July 30, 2002); amended at 71 FR 24704, 24705 (April 26, 2006)**

Description: Records on applicants for Federal employment and current and former Federal employees who file complaints of discrimination or reprisal, or who file appeals

with EEOC from agency decisions, petitions for review of decisions of the Merit Systems Protection Board, or requests for review of final decisions in negotiated grievance actions.

### **Federal Emergency Management Agency (FEMA)**

#### **DHS/FEMA/GOVT-001 - Federal Emergency Management Agency National Defense Executive Reserve System, 74 FR 722 (January 7, 2009)**

Description: Applicants for and incumbents of NDER assignments, including FEMA Form 85-3, NDER Qualifications Statement, which is used to determine membership for units of the NDER in Federal departments and agencies in accordance with Executive Order 11179, as amended by Executive Order 12146.

### **General Services Administration (GSA)**

#### **GSA/GOVT-2 - Employment Under Commercial Activities Contracts (February 10, 1983, 48 FR 6176)**

Description: Records on former Federal employees involuntarily separated from government employment as a result of a commercial activity contract. The system is used to provide government agencies with necessary information on former Federal employees hired by contractors to ensure the proper distributions of severance pay by the government.

#### **GSA/GOVT-3 - Travel Charge Card Program, 78 FR 20108 (April 3, 2013)**

Description: Records of current Federal employees who have their own government assigned charge card and all other Federal Employees and authorized individuals who use a Federal account number for travel purposes. Records are assembled in one information system to provide government agencies with: (1) Necessary information on the commercial travel and transportation payment and expense control system which provides travelers charge cards and the agency an account number for official travel and related travel expenses on a worldwide basis; (2) attendant operational and control support; and (3) management information reports for expense control purposes.

#### **GSA/GOVT-4 - Contracted Travel Services Program (E-TRAVEL), 74 FR 26700 (June 3, 2009); amended at 74 FR 28048 (June 12, 2009)**

Description: Records on individuals who are current Federal employees on travel and individuals being provided travel by the government. It is used to enable travel agents who are under contract to the Federal Government to issue and account for travel provided to individuals.

#### **GSA/GOVT-5 - Access Certificates for Electronic Services (ACES), 73 FR 22380 (April 25, 2008)**

Description: The system will allow on-line access to personal information in participating Federal agencies' automated systems by individuals who are the subjects of the information. Up to now, many Federal information systems containing legally safeguarded personal information have been inaccessible to the public electronically because of an insufficient proof-of-identity capability. The new system will enable more timely and cost-

effective communication between the public and the Federal Government while safeguarding personal information through state-of-the-art digital signature technologies.

**GSA/GOVT-6 - GSA SmartPay Purchase Charge Card Program, 73 FR 22376 (April 25, 2008)**

Description: GSA has government-wide responsibility, assembles and maintains charge card related information and ensures the efficient and cost effective operation, control, and management of commercial purchasing activities by Federal agencies. The system includes personal information of individuals to enhance the Federal government's ability to monitor official purchases, payments, and expenses involving purchase charge card transactions.

**GSA/GOVT-7 - Personal Identity Verification Identity Management System (PIV IDMS), 73 FR 22377 (April 25, 2008)**

Description: This system will support the implementation of Homeland Security Presidential Directive 12 (HSPD-12) by providing a GSA managed shared infrastructure and services for participating Federal agencies. HSPD-12 requires the use of a common identification credential for both logical and physical access to federally controlled facilities and information systems.

**GSA/GOVT-9 - System for Award Management (SAM), 78 FR 11648 (February 19, 2013)**

Description: SAM combines several government-wide systems into one. SAM contains records that capture information users voluntarily provide about their entity as part of the process to register to do business with the Federal Government. SAM also contains exclusion records that Federal Government agencies enter to suspend or debar entities.

**Department of Labor (DOL)**

**DOL/GOVT-1 - Office of Worker's Compensation Programs, Federal Employees' Compensation Act File, 67 FR 16815 (April 8, 2002); amended at 77 FR 1728, 1729 (January 11, 2012)**

Description: Records on Federal Employees' Compensation Act (FECA) benefit recipients. These are Federal employees injured in the performance of duty, or beneficiaries of employees killed in the performance of duty. Includes information and verification about covered employees' work related injuries, entitlement to medical treatment and vocational rehabilitation; entitlement to and computation of continuation of pay, compensation, survivors' benefits under FECA and certain other statutes.

**DOL/GOVT-2 - Job Corps Student Records, 67 FR 16815 (April 8, 2002)**

Description: Information on Employment Training Administration Job Corps students and former students.

**Department of Transportation (DOT)****DOT/ALL 8 - Employee Transportation Facilitation, 65 FR 19476, 19482 (April 11, 2000)**

Description: Records on applications submitted by individuals for parking permits, carpool and vanpool membership, ridesharing information, and fare subsidies; from notifications from other Federal agencies in the program; and from periodic certifications and reports regarding fare subsidies.

**Merit Systems Protection Board (MSPB)****MSPB/GOVT-1 - Appeals and Case Records, 77 FR 65206 (October 25, 2012)**

Description: Records on (a) Current and former Federal employees, applicants for employment, annuitants, and other individuals who have filed appeals with MSPB or its predecessor agency, or with respect to whom the Special Counsel or a Federal agency has petitioned MSPB concerning any matter over which MSPB has jurisdiction; and (b) Current and former employees of State and local governments who have been investigated by the Special Counsel and have had a hearing before MSPB concerning possible violation of the Hatch Act.

**Office of Government Ethics (OGE)****OGE/GOVT-1 - Executive Branch Personnel Public Financial Disclosure Reports and Other Name-Retrieved Ethics Program Records, 68 FR 3097 (January 22, 2003); corrected at 68 FR 24722 (May 8, 2003); amended at 76 FR 24489 (May 2, 2011); amended at 77 FR 45353 (July 31, 2012)**

Description: All records are maintained in accordance with the requirements of the Ethics in Government Act of 1978 and the Ethics Reform Act of 1989, as amended, and Executive Order 12674 as modified, and OGE and agency regulations thereunder. These requirements include the filing of financial status reports, reports concerning certain agreements between the covered individual and any prior private sector employer, ethics agreements, and the preservation of waivers issued to an officer or employee pursuant to section 208 of title 18 and certificates of divestiture issued pursuant to section 502 of the Ethics Reform Act. Such statements and related records are required to assure compliance with these acts and to preserve and promote the integrity of public officials and institutions. The requirements also include the possession or maintenance of information being researched or prepared for referral by ethics officials concerning employees or former employees of the Federal Government who are the subject of complaints of misconduct or alleged violations of ethics laws. These complaints may be referred to the Office of the Inspector General of the agency where the employee is or was employed or to the Department of Justice.

**OGE/GOVT-2 - Executive Branch Confidential Financial Disclosure Reports, 68 FR 3101 (January 22, 2003); corrected at 68 FR 24722 (May 8, 2003)**

Description: These records are maintained to meet the requirements of or under Executive Order 12674 as modified, 5 CFR part 2634, agency regulations thereunder, as well as

section 107 of the Ethics in Government Act of 1978, as amended, concerning the filing of confidential financial disclosure reports. Such reports are required to assure compliance with ethics laws and regulations, and to determine if an actual or apparent conflict of interest exists between the employment of individuals by the Federal Government and their outside employment and financial interests.

### **Office of Personnel Management (OPM)**

#### **OPM/GOVT-1 - General Personnel Records 77 FR 73694 (December 11, 2012)**

Description: Records on current and former Federal employees as defined in 5 U.S.C. § 2105, including OPM's Central Personnel Data File and related agency personnel management information systems. The Official Personnel Folders and other general personnel records files are the official repository of the records, reports of personnel actions, and the documents and papers required in connection with actions effected during an employee's Federal service.

#### **OPM/GOVT-2 - Employee Performance File System Records, 71 FR 35342, 35347 (June 19, 2006)**

Description: Records on current or former Federal employees, including appointees to the Senior Executive Service maintained on an employee's performance.

#### **OPM/GOVT-3 - General Investigations Record System, 71 FR 35342, 35350 (June 19, 2006)**

Description: Records on current or former Federal employees, including Senior Executive Service employees, against whom such an action has been proposed or taken in accordance with 5 C.F.R. §§ 432, 732, 752, or 754.

#### **OPM/GOVT-4 -- [Reserved]**

#### **OPM/GOVT-5 - Recruiting, Examining, and Placement Records, 71 FR 35342, 35351 (June 19, 2006)**

Description: Records on (a) persons who have applied to OPM or agencies for Federal employment, and current and former Federal employees submitting applications for other positions in the Federal Service; and (b) applicants for Federal employment believed or found to be unsuitable for employment on medical grounds.

#### **OPM/GOVT-6 - Personnel Research and Test Validation Records, 71 FR 35342, 35354 (June 19, 2006)**

Description: Records on current and former Federal employees, applicants for Federal employment, current and former State and local government employees, and applicants for State and local government employment, selected private sector employees and applicants for sample comparison groups used by OPM or other Federal agencies for the construction, analysis, and validation of written tests, and for research on and evaluation of personnel or organizational management and staffing methods, including workforce effectiveness studies.



**OPM/GOVT-7 - Applicant Race, Sex, National Origin, and Disability Status Records, 71 FR 35342, 35356 (June 19, 2006)**

Description: Records on current and former Federal employees and individuals who have applied for Federal employment used by OPM and agencies to evaluate personnel/organizational measurement and selection records, implement and evaluate Federal Equal Opportunity Recruitment and affirmative action programs, prepare reports regarding breakdowns by race, sex, and national origin of applicants, and to locate individuals for personnel research.

**OPM/GOVT-8 -- [Reserved]****OPM/GOVT-9 - File on Position Classification Appeals, Job Grading Appeals, and Retained Grade or Pay Appeals, and Fair Labor Standard Act (FLSA) Claims and Complaints, 71 FR 35342, 35358 (June 19, 2006)**

Description: Records on current and former Federal employees who have either: (a) filed a position classification appeal or a job grading appeal with OPM's Agency Compliance and Evaluation, an OPM regional office, or with their agencies; or (b) filed a retained grade or pay appeal with OPM's Agency Compliance and Evaluation or an OPM regional office, used to document the processing and adjudication of the appeal.

**OPM/GOVT-10 - Employee Medical File System Records, 75 FR 35099 (June 21, 2010)**

Description: Records on current and former civilian Federal employees maintained to ensure proper medical evaluation, diagnosis, history, treatment, and continuity of care; documentation of hazard exposures, treatment, medically-related employment decisions, and communications among health care providers, including planning of further care, evaluation of the quality of health care rendered, and to ensure proper operation of an agency's drug testing program.

**Environmental Protection Agency (EPA)****EPA/GOVT-1 - Emissions Inspection and Maintenance Records for Federal Employees Parking at Federal Parking Facilities 66 FR 49947, 49955 (October 1, 2001)**

Description: Records on federal employees routinely permitted to park in facilities controlled by the federal government for the purpose of ensuring emissions inspection and maintenance records.

**EPA/GOVT-2 - Federal Docket Management System (FDMS), 70 FR 15086 (March 24, 2005)**

Description: Records on any person-including public citizens and representatives of Federal, state, or local governments, businesses, and industries, that provide personal information while submitting a comment or supporting materials on Federal agency rulemaking.

## **Office of Special Counsel (OSC)**

### **OSC/GOVT-1 - OSC Complaint, Litigation, Political Activity, and Disclosure Files, 77 FR 24242 (April 23, 2012)**

Description: Information developed in connection with these OSC program responsibilities is maintained in the OSC/GOVT-1 system of records, which includes certain records subject to the Privacy Act. These include records in complaint files, generally retrieved by the name of the person filing an allegation of a prohibited personnel practice, improper political activity, or other prohibited activity; records in disclosure files, generally retrieved by the name of a person filing an allegation through the OSC whistleblower disclosure channel; records in disciplinary action litigation files, generally retrieved by the name of the person charged by the OSC in litigation before the MSPB; and records in defensive litigation files, generally retrieved by the name of the plaintiff in the action.



## 6.6 Appendix F Publishing the SORN

This appendix provides the procedures to publish a System of Records Notice (SORN) in the *Federal Register*.

Once the SORN is drafted, it must be cleared by the System of Records Manager, the privacy attorney, any attorney supporting the program office, the Privacy Analyst, the Privacy Act Implementation Officer, and the Chief Privacy Officer. After the SORN is cleared, the SORN is then ready for the publication process.

The publication process for new, significantly altered, or deleted systems of records will take approximately 60 days to complete and will take more than that days if substantive comments are received from OMB, Congress, or the public. The publication process for non-significant alterations will take approximately 20 days to complete.

For a new, significantly altered, or deleted system of records, USAID must send letters and a narrative statement to OMB and Congress explaining the need for the new system of records. OMB and Congress require 40 days to review the SORN before USAID may begin to operate the system or records to collect, use, maintain, or dissemination the information. USAID must also publish a SORN in the *Federal Register* for a 30-day comment period before USAID may begin to operate the system of records to collect, use, maintain, or dissemination the information. For a deleted system of records, USAID must provide OMB and Congress the 40-day review period and must publish a SORN in the *Federal Register* for the 30-day public-comment period. Generally, the 40-day and 30-day review periods will run concurrently.

For systems of records with non-significant alterations, such as a change in system owner or correction of technical errors, an altered SORN must be published in the *Federal Register*, but the 40-day review period for OMB and Congress and 30-day public-comment period are not required.

### 6.6.1 System of Records Manager

The System of Records Manager must provide the background and detailed information required by the SORN Template.

### 6.6.2 Privacy Office

The Privacy Office processes the draft SORN through the clearance and publication and ensures that the draft SORN complies with the requirements of the Privacy Act.

### 6.6.3 USAID Internal Clearance Process

Once the System of Records Manager and the Privacy Analyst agree on a draft SORN, the Privacy Analyst sends the draft SORN to the USAID Office of the General Counsel for approval. In addition, the System of Records Manager may send the draft for approval to the USAID attorney responsible for that program. When the attorneys approve the SORN, the Privacy Office submits the SORN to the Privacy Act Implementation Officer and then the Chief Privacy Officer for approval. The System of Records Manager, all attorneys, the Privacy Analyst, the Privacy Act Implementation

Officer, and the Chief Privacy Officer must provide approval signatures on the USAID Internal Clearance Sheet to complete the USAID internal SORN clearance process.

#### **6.6.4 Notification to OMB and Comment Period**

When USAID wishes to establish a new, change significantly, or delete a system of records, USAID must notify in advance the Office of Management and Budget (OMB), pursuant to 5 U.S.C. 552a(r). USAID must notify OMB by letter, with a narrative statement and a copy of the SORN, 40 days before the SORN will become final.

Currently, OMB uses the Regulatory Information Service Center/Office of Information and Regulatory Affairs (RISC/OIRA) Consolidated Information System (ROCIS) to process and review draft SORNs. The Privacy Office will process the notification to OMB through ROCIS. The Privacy Office will monitor ROCIS for comments from OMB and will manage any OMB requests for changes in coordination with the System of Records Manager and USAID attorneys. If OMB does not provide comments within 10 days of receipt of the SORN package, USAID is authorized to send the SORN package to the Office of the Federal Register for publication.

#### **6.6.5 Notification to Congress**

When USAID wishes to establish a new, change significantly, or delete a system of records, it must notify in advance the House Oversight and Government Reform Committee and the Senate Homeland Security and Governmental Affairs Committee, pursuant to 5 U.S.C. 552a(r). USAID must notify the Chairmen and Ranking Members of the appropriate Senate and House committees by letter, with a narrative statement and a copy of the SORN, 40 days before the SORN will become final. The Privacy Office will process the notification to the congressional committees by letter.

#### **6.6.6 Publication in the *Federal Register***

The Office of the Federal Register requires USAID to submit a package of documents, including a letter to the Director of the Office of the Federal Register from the Chief Privacy Officer, a letter to the Office of the Federal Register from the authorized representative of the USAID Administrator, and one original and two identical paper copies of the SORN. The Office of the Federal Register allows USAID to submit an identical, electronic copy of the SORN on a CD, in order to expedite the publication process.

The Information Records Division (M/MS/IRD) is responsible for approving the USAID SORN publication package, for submitting the SORN to the Office of the Federal Register for publication, and for ensuring that the Office of the Federal Register publishes the SORN as approved by USAID. In addition to the *Federal Register* document package, IRD requires the USAID Internal Clearance Sheet signed by the USAID officials who have approved the SORN during the clearance process.

The Privacy Office will forward the SORN publication package to IRD after the OMB ROCIS process is complete and after notifying Congress in order to ensure the 40-day

OMB and Congress notification period is completed. IRD will process the SORN package within 10 days of receipt.

For more information about the requirements for submitting a SORN to the *Federal Register* for publication, see [ADS 516, Federal Register Notices](#).

#### **6.6.7 Public Comment and Review**

USAID must wait 30 days from publication in the *Federal Register* to see if there are any comments submitted by the public. If anyone submits substantive comments within the 30-day period, USAID must address the comment(s) and, if appropriate, amend the SORN and re-submit the amended SORN to the Office of the Federal Register for re-publication in the *Federal Register*. When the Privacy Office re-submits the draft SORN, the 30-day waiting period for public comment begins again.

If no substantive comments are received within the most recent 30-day public comment period, the SORN is final, and the Privacy Office posts the final SORN on the USAID external Web site, <http://www.usaid.gov/privacy-policy/systems-records-notices-sorns>.

## 6.7 Appendix F Publishing the SORN – Flow Chart

