Form 502-4 Detailed Instructions

A Mandatory Reference for ADS Chapter 502

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Document Change History

The table below identifies all changes that M/MS/IRD has incorporated into the Annual Records and Personally Identifiable Information (PII) Inventory. Change history begins after final submission of the Document to the M/MS/IRD Program Manager. Any changes incurred after that time require the editor to add a new version number into this table.

Change #	Date	Version #	Change Description
1	02/27/2019	V1	Instructions for Form 502-4 Incorporated
2	04/02/2019	V2	Modifying and creating instructions for Form 502-4
3	06/03/2019	V3	Modifying instructions for Form 502-4
4	08/25/2019	V4	Modifying instructions for Form 502-4
5	12/09/2019	V5	Modifying instructions for Form 502-4

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1. Purpose

The purpose of this form is to electronically collect information about what types of records are collected in the Agency, what disposition schedules are followed for those records, what PII is collected in those records, what authorization is cited for the collection of any PII, and where that data is located. This form has been designed to make maximum use of drop-down menus and self-completing fields to minimize the labor burden of this collection activity. These instructions will guide you through the process of using this form.

2. Annual Records and PII Inventory Completion Procedures

The Agency's Annual Records and PII Inventory utilizes drop-down menus to make completion as easy as possible, and to minimize time spent performing the Inventory. This Form is now located in USAID Service Central to make it more convenient and efficient. Using Service Central increases efficiency by eliminating the need for digitally signing the entry, as the Service now Engine on which it runs, automatically records the initiator's information from their sign-in to the network, and is able to provide an easy and convenient workflow for reviewing and reporting submissions.

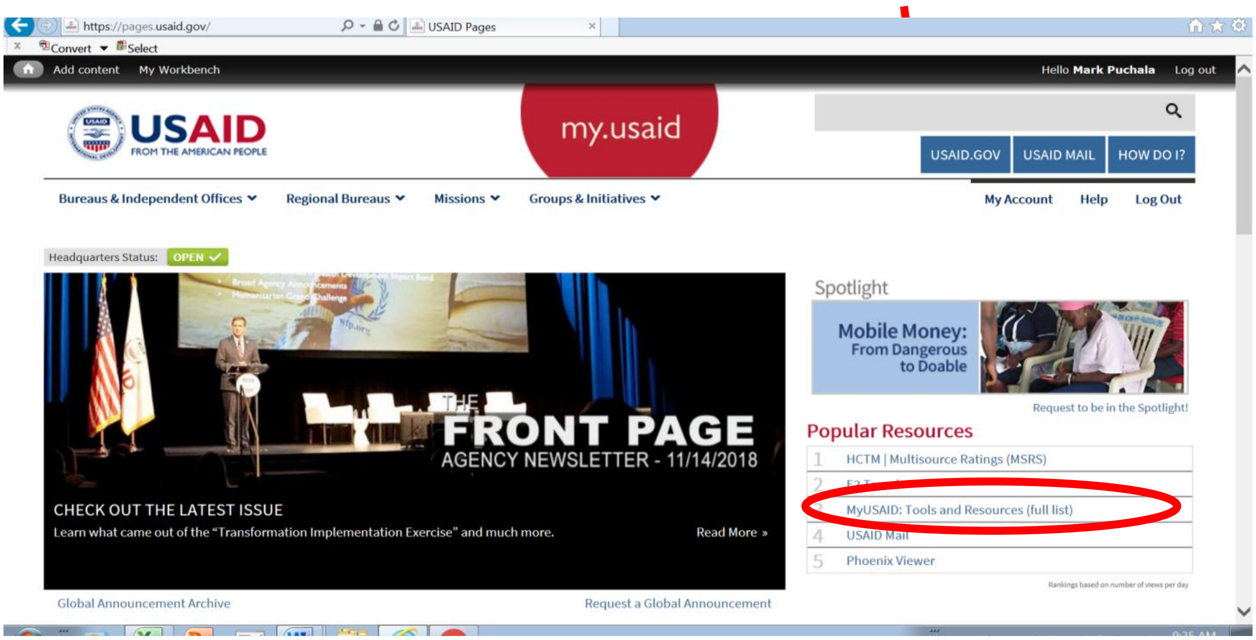
Using this system will enable the user to:

1) Create a submission with multiple entries without having to repeatedly fill in Header data,
2) Easily input data elements using onscreen directions and drop-down menus to select data,
3) Input Privacy information about all PII-collecting IT systems possessed or controlled by or on behalf of the reporting Mission, Bureau, or Independent Office (M/B/IO),
4) Be able to check, update, correct or delete records throughout the reporting period, and
5) Quickly receive record concerns from reviewers in the workflow.

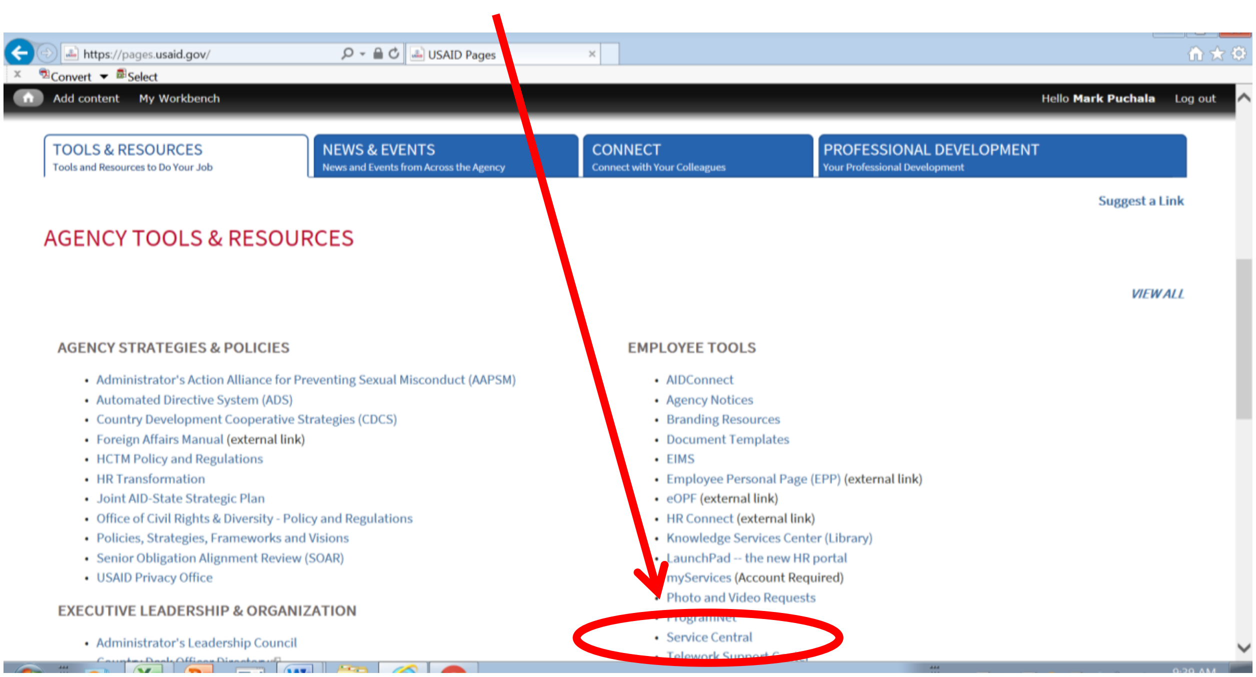
2.1 Locating USAID Form 502-4 in Service Central

The Agency's Annual Records and PII Inventory is conducted through a module in Service Central. This module is the new USAID Form 502-4. To navigate to this site:

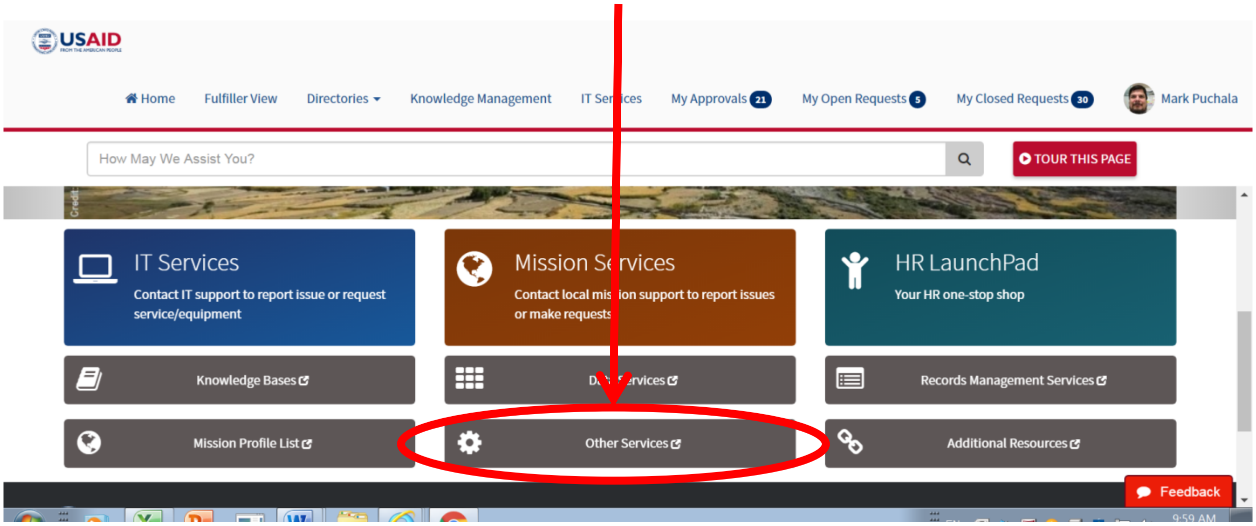
1. First open a browser with my.usaid.gov. (https://pages.usaid.gov/) Once on that page, select the MyUSAID **Tools and Resources (full list) choice.**



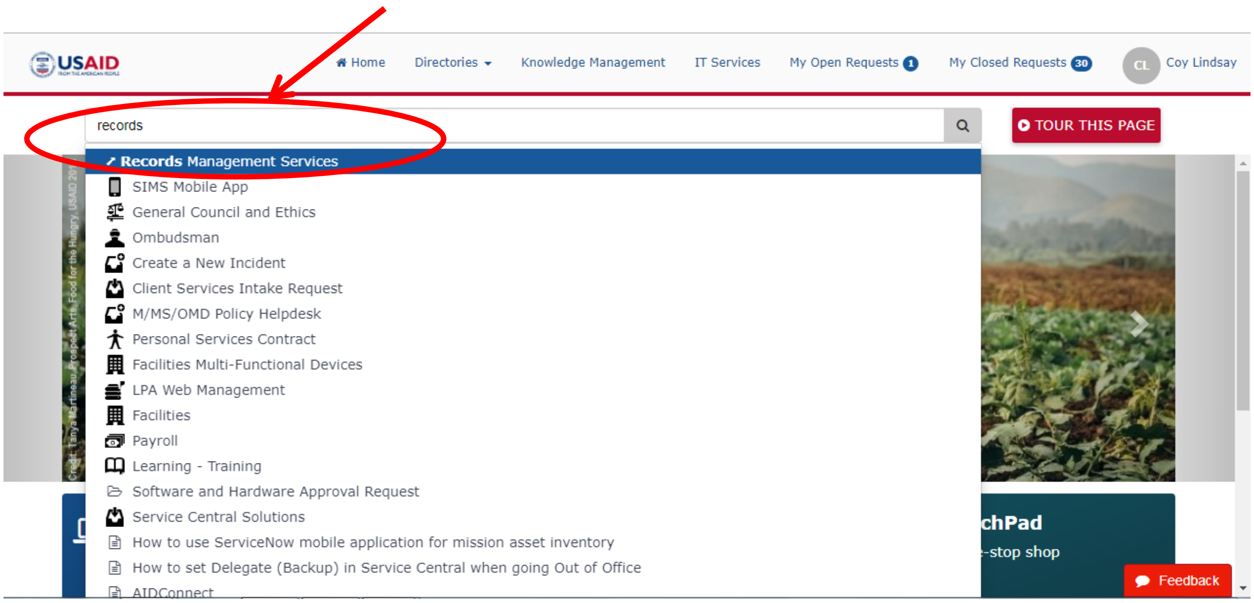
2. Once on the Agency Tools and Resources page, select **Service Central** from the Service Central Page, under the HR LaunchPad box.



3. Select the **Other Services** page. The Other Services page is where all Inventory activities will be accomplished, or



4. Enter **Records Management Services** in the search engine.

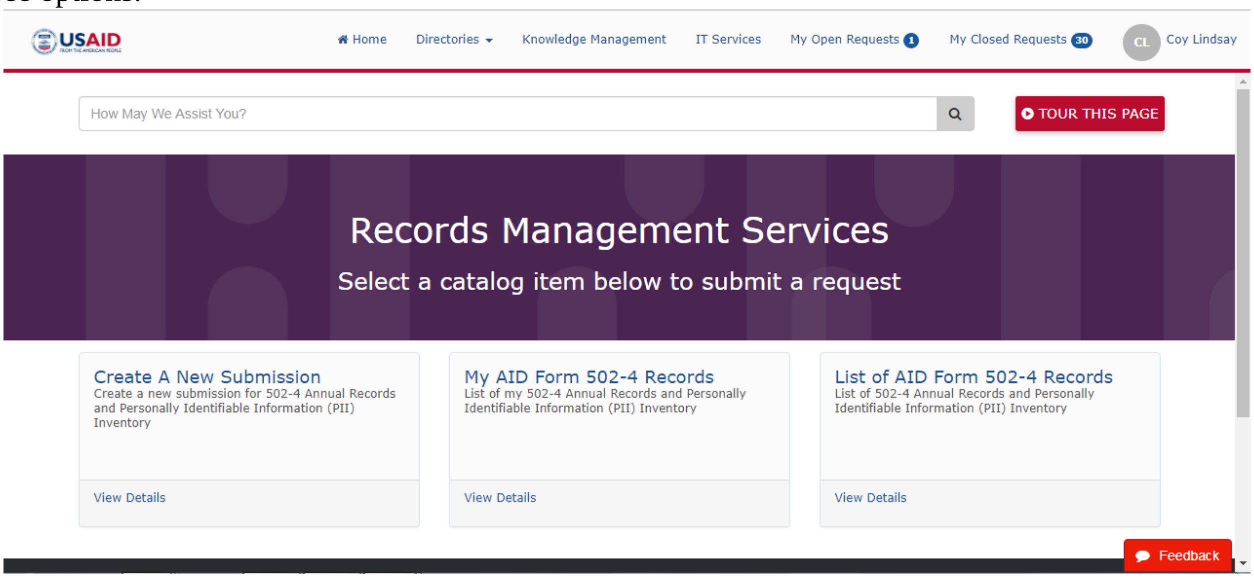


2.2 The Records Management Services Page

The Records Management Services page in Service Central is the primary page from which all Annual Records and PII Inventory actions can be initiated. These actions include;

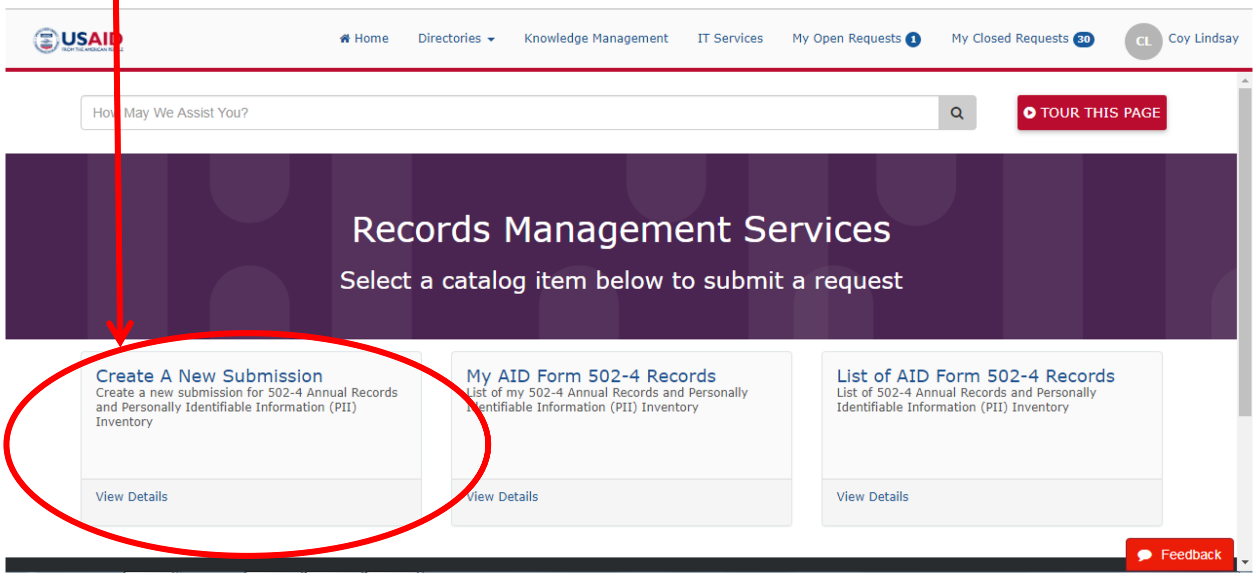
1. Creating a new submission, (Create New AID Form 502-4)
2. Editing an existing submission that you previously created, (My AID Form 502-4 Records)
3. Viewing submissions.   (List of AID Form 502-4 Records)

Note: The initiator will only have access to the first two options. M/MS/IRD has access to all three options.



2.3 Creating a New AID Form 502-4

In the Records Management Services page described in Section 2.2, the **first box** is selected to create a new AID form 502-4. Clicking on this box will take you to the first section of the AID Form 502-4. (Illustrated in Section: 2.4)



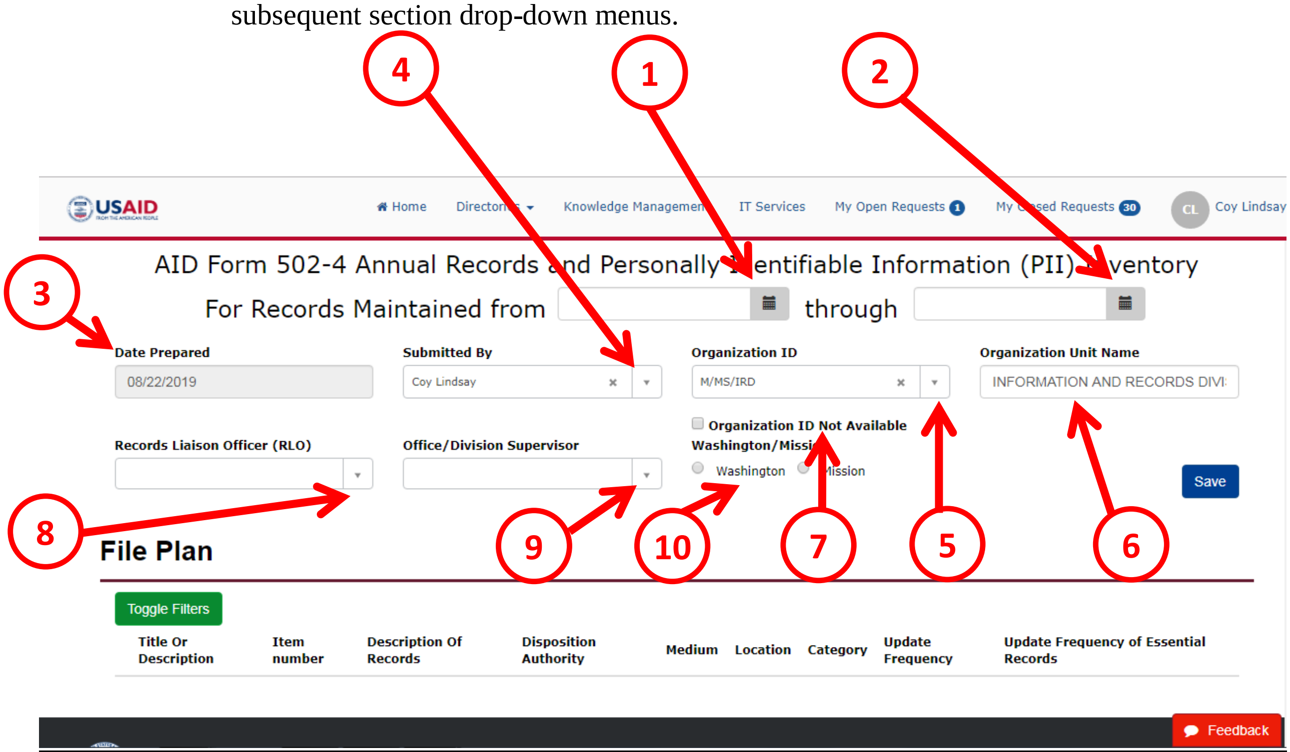
The Creation of a form will be a two-step process in which you will;

1. Create the Header which will identify the initiator and the office/division of which the submission corresponds. (Explained in Section: 2.4)
2. Add individual entries to that form for each active record type owned by the submitting office/division. (Explained in Section: 2.5)

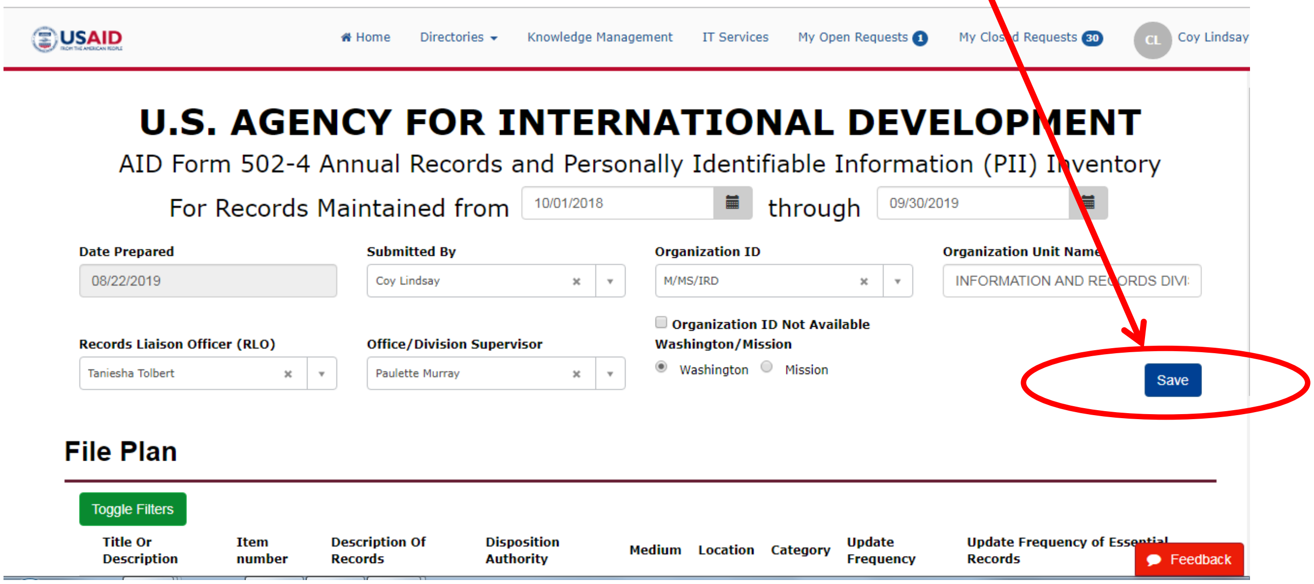
2.4 Entering Data on the First Section (Header) of a New AID 502-4

This page is used to identify the Organizational unit conducting the reporting. It requires the following 9 or10 Pieces of data for the submission:

1. **For Records Maintained from** – This is the start date of the annual reporting period for the submission being reported. Simply click on the gray Calendar at the right of the data box, and select the correct date.
2. **Through -** This is the ending date of the period described above.
3. **Date Prepared** – This field is auto populated based on the date you are inputting the data.
4. **Submitted By -** This should also be auto-populated, but you will be able to change this information if it is inaccurate.
5. **Organization ID –** This is the Organization ID of the M/B/IO who **owns** the record content being submitted and will usually auto-populate with the initiator's M/B/IO. If that M/B/IO is incorrect for the submission, make the appropriate selection. However, if the Organization ID you require is unavailable in the drop-down menu, please refer to #7.
6. **Organization Unit Name -** This is the Organizational Unit Name of the M/B/IO who **owns** the record content being submitted. This should auto-populate based upon the information from the Organization ID.
7. **Organization ID Not Available -** This is selected when the Organization ID is unavailable in the drop-down menu. You must manually enter the appropriate information that will subsequently be added to the drop-down menu for future submissions.
8. **Records Liaison (RL)** – This is the Records Liaison responsible for reviewing the submission being reported. The name can be entered or you can use the drop-down menu.
9. **Office/Division Supervisor** – This is the Supervisor of the Office/Division that **owns** the record content being reported. The name can be entered or you can use the drop-down menu.
10. **Washington / Mission -** This is used to help the M/MS/IRD staff organize the submissions and ensure the correct approved disposition schedules are provided in subsequent section drop-down menus.

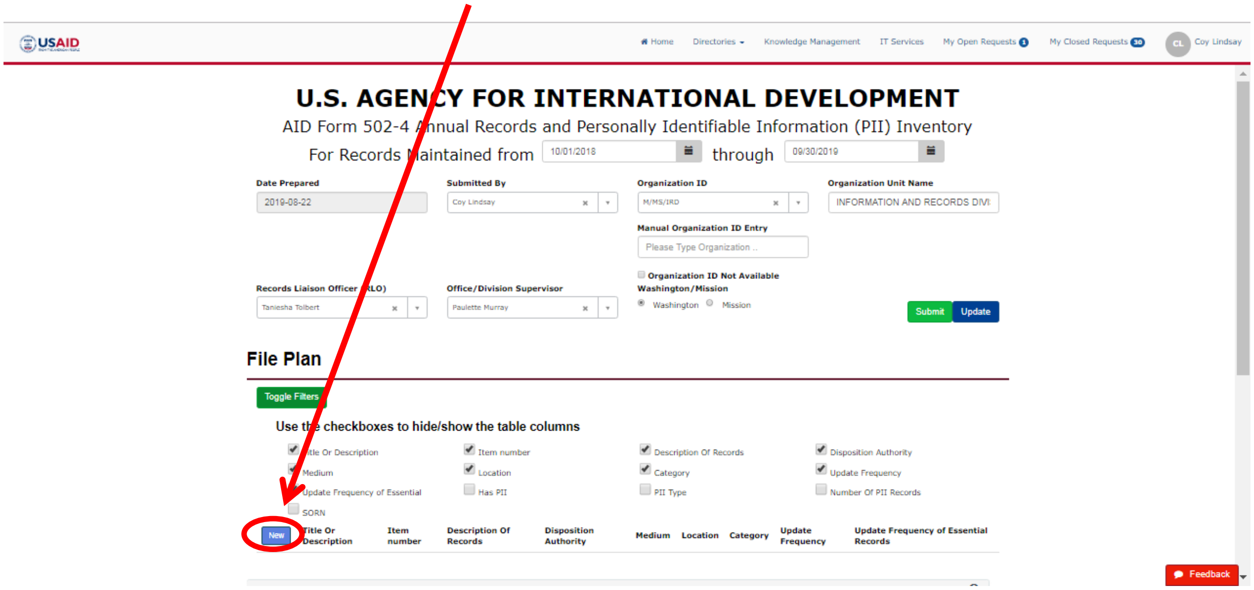


Once this Header page is completed, you will need to Click on the **Save Button** to continue to the next section.



2.5 Adding Individual Entries to an AID 502-4

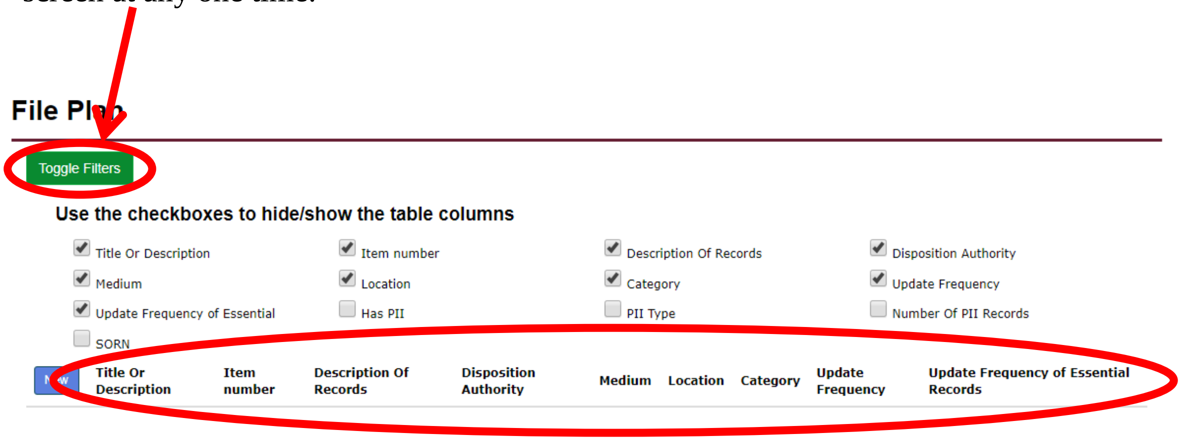
Once you have completed the first (Header) section of the Form 502-4, as shown above, you will have to click on the **NEW** button for each type of active record to be submitted for the Organizational Unit listed in the first section.



This will open a new page in which you can input the data for each type of active record and indicate any privacy data that may exist in each record. This will be covered in detail in Section 2.8.

2.6 Toggle Filter

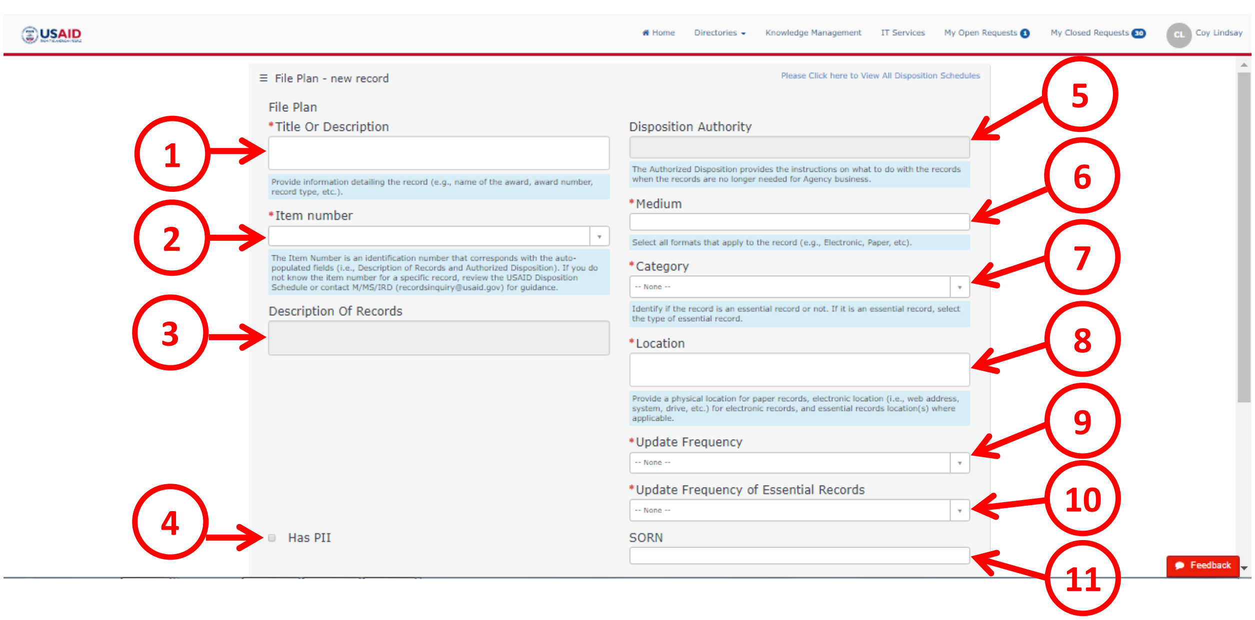
The **Toggle Filter** is intended to allow the user the option to maximize or minimize what appears on the screen. To illustrate, there are 9 filters (e.g., 'Title or Description', 'Item Number', 'Description of Records', etc.) selected, therefore, only 9 filters appear on the screen at any one time.



2.7 Entering Data for Each Record Type on an AID 502-4

This page requests the following data for the Record being submitted:

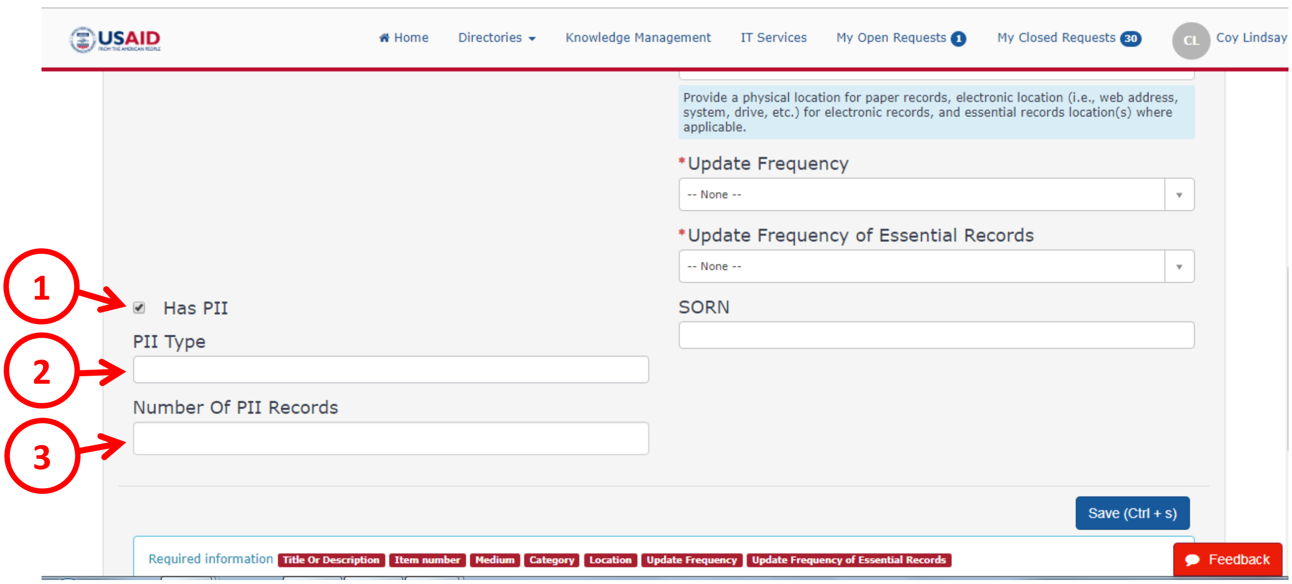
1. **Title or Description** – This is the Title or Description of the type of record being entered.
2. **Item Number -** This is the Disposition Schedule Item number as found in the ADS 502mac, [USAID / Washington and Missions Disposition Schedules](). This item uses a drop-down menu to ease completion or you can manually enter the item number.
3. **Description of Records** – This is a written description of the record that corresponds to the item number listed above in #2. This field automatically populates when the item number is provided.
4. **Has PII?** – This is a Checkbox to indicate whether PII is contained in the listed records. If you select this box, the page will adjust to add new questions related to the PII in the records.
5. **Disposition Authority (the screen will correctly say Authorized Disposition)** – These are instructions on what to do with the record when no longer needed for Agency business. This field automatically populates when the item number is provided.
6. **Medium** – This is the medium used to store the records. More than one choice can be selected.
7. **Category** – This is a drop-down menu used to indicate whether the records are Essential Records or not, and to indicate what type if they are Essential Records.
8. **Location** – In this field, add the location(s) of the records. Also, add the location of Essential Records where applicable.
9. **Update Frequency** – A drop-down menu to indicate how frequently the records are updated.
10. **Update Frequency of Essential Records** – A drop-down menu to indicate how frequently the essential records are updated.
11. **SORN -** Whenever a Federal agency maintains information about an individual in a system of records and retrieves the information by the name of the individual or by any personal identifier, the Privacy Act requires that the agency publish a System of Records Notice (SORN) in the Federal Register. This drop-down menu lists the currently published SORNs used in USAID. If you do not have a SORN for an applicable system of records, contact privacy@usaid.gov to assist you in understanding or creating or updating a SORN to cover your system.



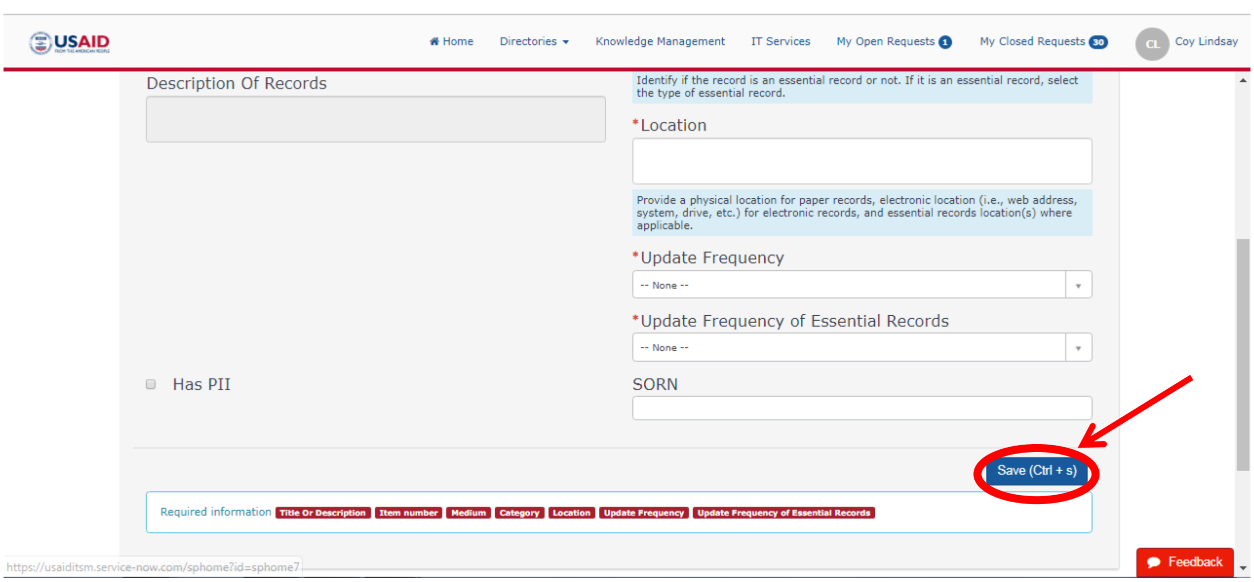
2.8 Entering Data for an Individual Record, with PII, on an AID 502-4

This page requires the same data shown in Section 2.7, but adds two Privacy fields when the PII Box is checked. The rest of the fields are completed as in Section 2.7.

1. **Has PII? Checkbox** – Checking this box indicates that there is PII in the records. Checking this box will cause the two fields below to appear to describe the type and volume of PII contained in the records.
2. **PII Type –** When you click in this field, you will get a list of possible items of PII. Please pick all the items that apply, one at a time.
3. **Number of PII Records** – This is an approximate number of people whose PII is contained in the record. The Privacy Office understands that this is a number that will vary over time, and which might be somewhat of a guess, but simply put the closest estimate you can get for the time you are completing the form.



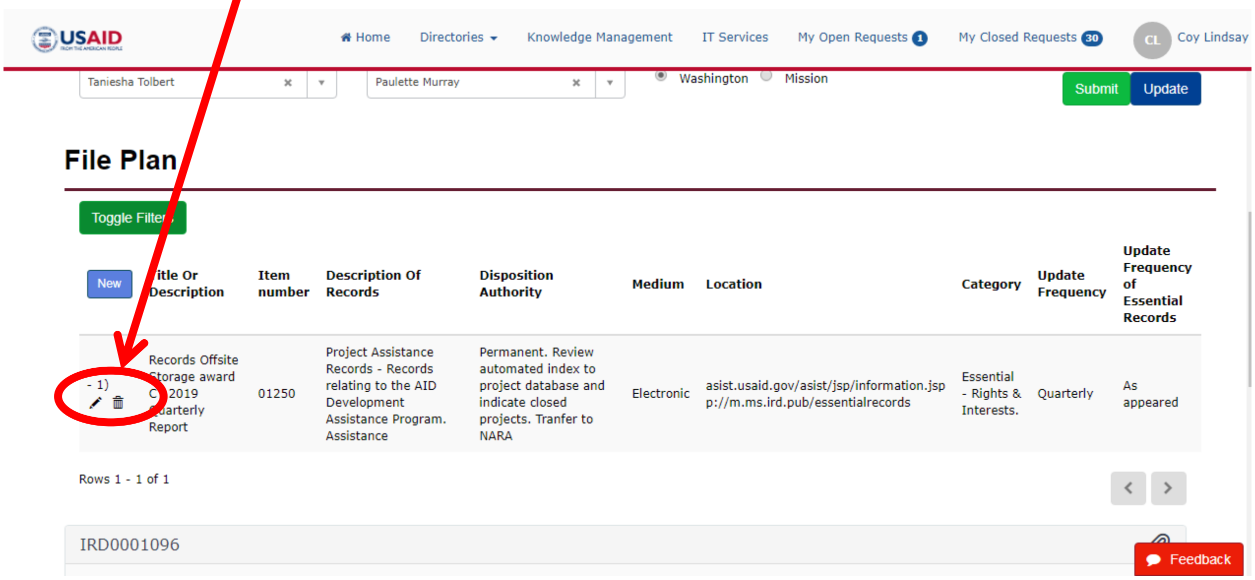
Click the **SAVE** button. You have successfully completed your first record entry.



2.9 Entering Additional Entries for Submission, on an AID 502-4

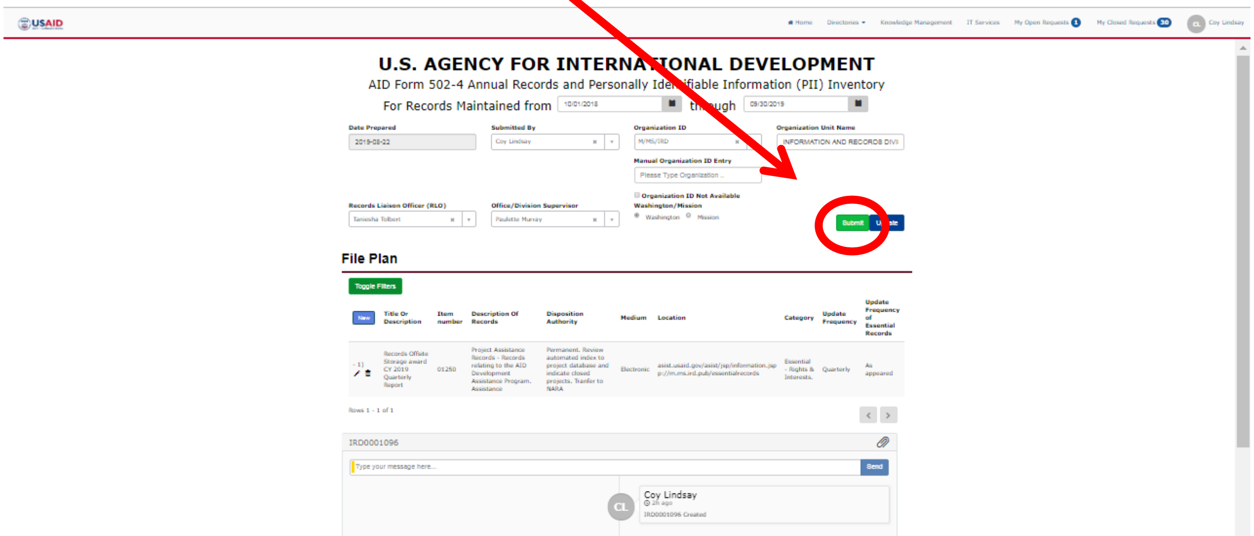
Proceed back to Section 2.5 to enter additional entries for your submission.

Each individual record entry will be posted on the main page. Here you have the option of **editing** or **deleting** each individual record entry.



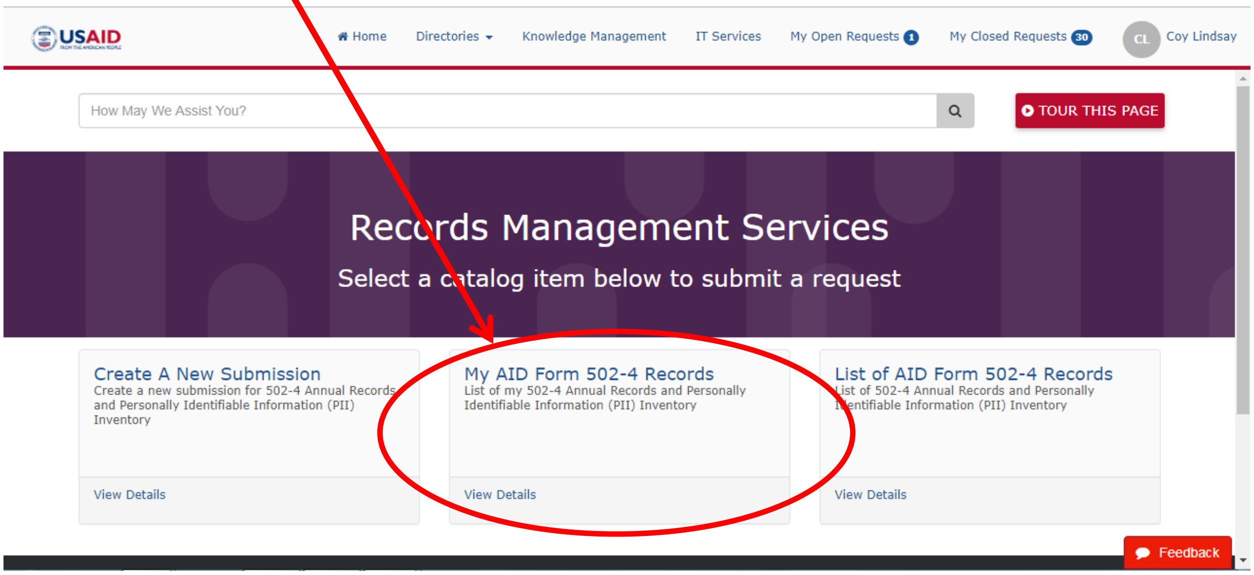
2.10 Submitting your form for RLO Review

After you have completed all of your record entries, you will then require the review of your RLO. Click on the **SUBMIT** button. Your RLO will be notified via email that they have a submission pending their review. A hyperlink within the email will take them directly to the pending submission.

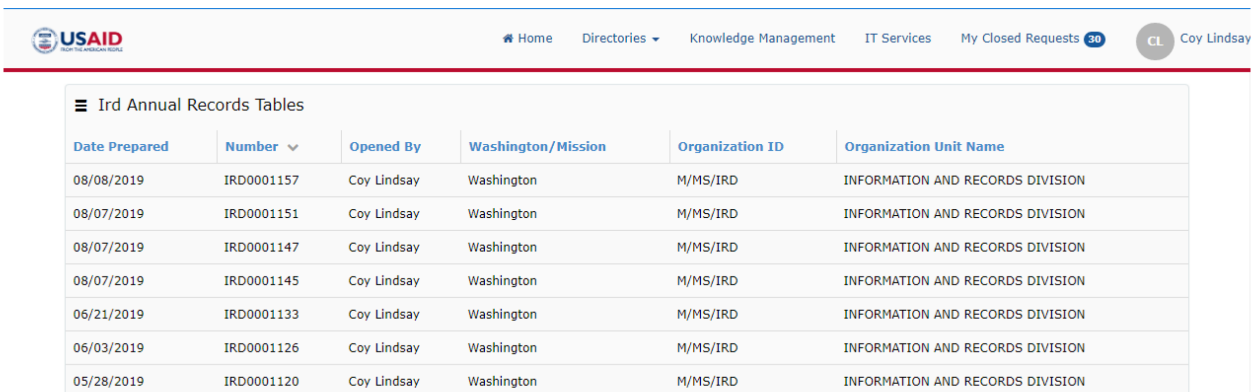


2.11 Updating Your Existing Submission in AID 502-4

In the Records Management Services page described in Section 2.2, the **My Aid Form 502-4 Records** is clicked on to refer to previous entries made by you.



Once selected, the user will have the option to choose a submission to review/edit.



Date Prepared	Number	Opened By	Washington/Mission	Organization ID	Organization Unit Name
08/08/2019	IRD0001157	Coy Lindsay	Washington	M/MS/IRD	INFORMATION AND RECORDS DIVISION
08/07/2019	IRD0001151	Coy Lindsay	Washington	M/MS/IRD	INFORMATION AND RECORDS DIVISION
08/07/2019	IRD0001147	Coy Lindsay	Washington	M/MS/IRD	INFORMATION AND RECORDS DIVISION
08/07/2019	IRD0001145	Coy Lindsay	Washington	M/MS/IRD	INFORMATION AND RECORDS DIVISION
06/21/2019	IRD0001133	Coy Lindsay	Washington	M/MS/IRD	INFORMATION AND RECORDS DIVISION
06/03/2019	IRD0001126	Coy Lindsay	Washington	M/MS/IRD	INFORMATION AND RECORDS DIVISION
05/28/2019	IRD0001120	Coy Lindsay	Washington	M/MS/IRD	INFORMATION AND RECORDS DIVISION

3. RLO Review Procedures

The Records Liaison (RL) is responsible for reviewing the submissions by their M/B/IO for accuracy.

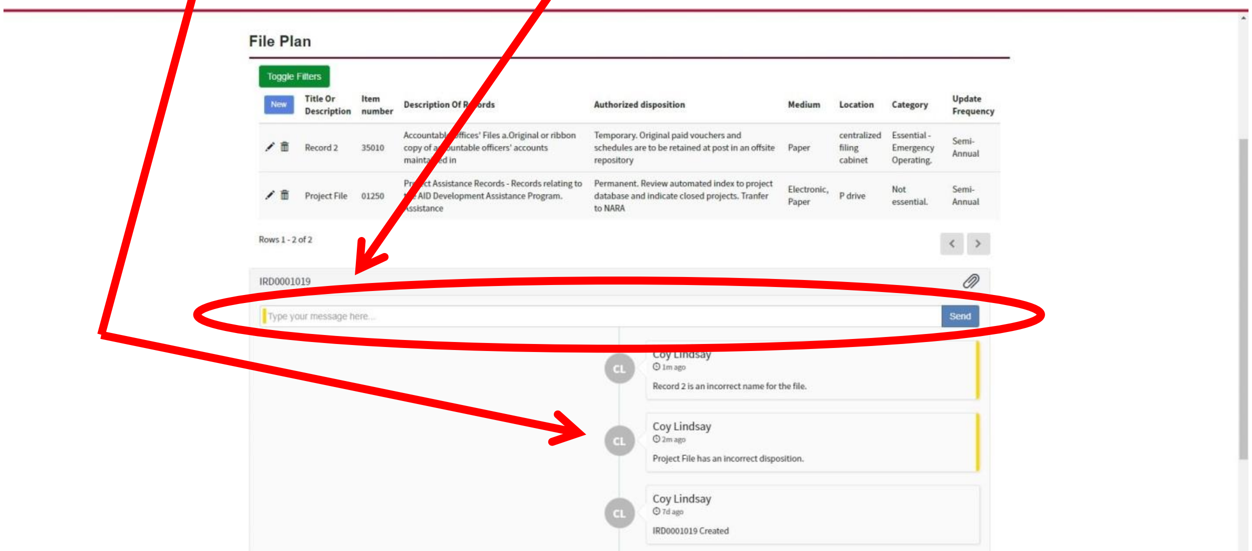
Using this system will enable the user to:

1) Easily request change amendments directed towards each individual entry,
2) Quickly receive record concerns from users in the workflow, and
3) Approve the entire submission.

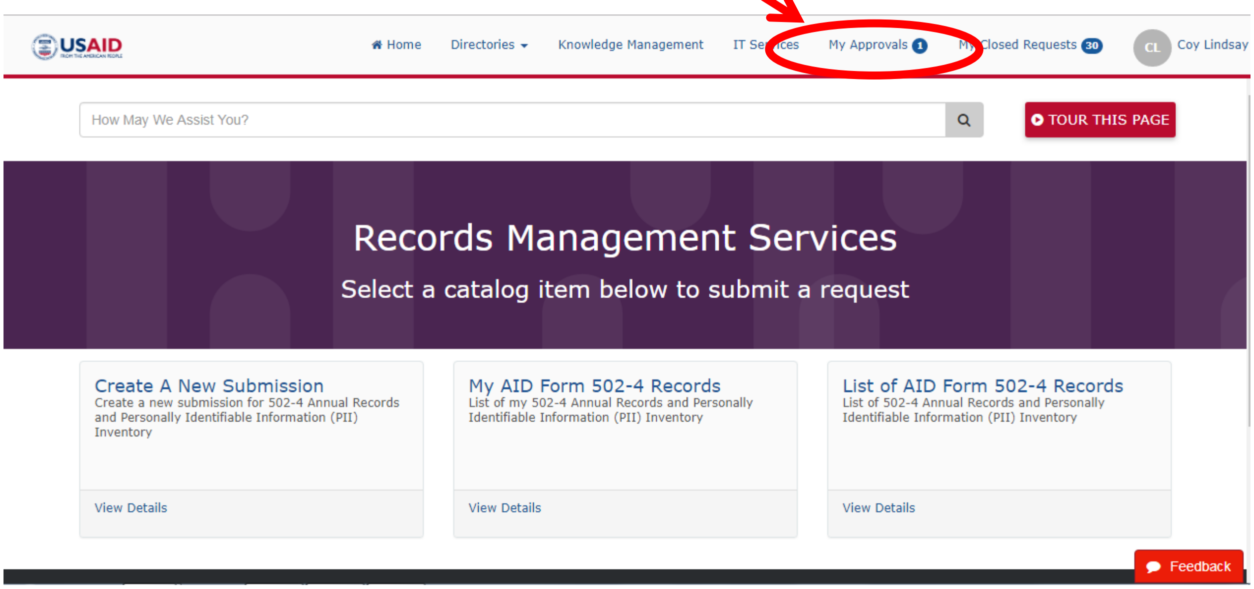
3.1 RLO Review

The RLO has the responsibility of confirming that the submission is accurate. Therefore, the RLO will write notes directed to any entry they have concerns surrounding.

The RLO will write their concerns **HERE**. Once you press enter, the RLO's entry will appear **HERE**.



The RLO is notified that a submission is pending review via email. However, the RLO can also go to the home page and select **My Approvals** to locate any pending actions.

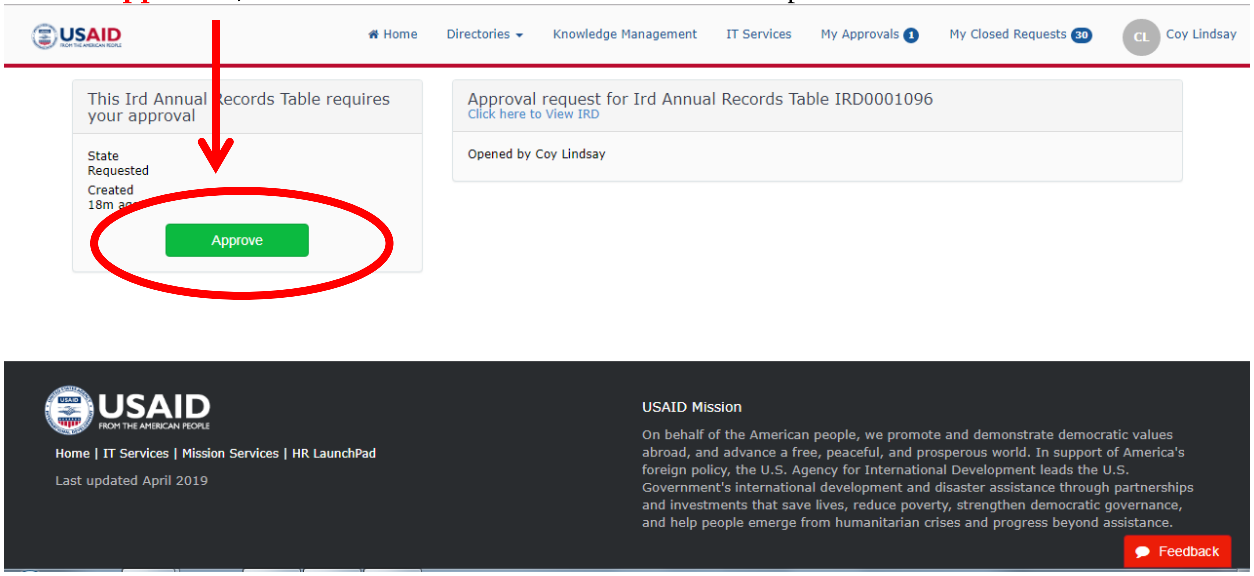


The initiator will be notified if work notes are made by the reviewer via email. The initiator must make the necessary corrections and add work notes indicating they made the changes. (Work notes initiate emails to users thus notifying them that there is something pending review).

The reviewer receives the email notification and returns to the submission to confirm corrections were made.

3.2 RLO Approval

The RLO will either Approve or leave a submission pending. If the submission is **Approved**, it will be routed to the Office/Division Supervisor.



If the submission requires changes, the RLO will leave it pending until all change requests are fulfilled.

4. Office/Division Supervisor Review Procedures

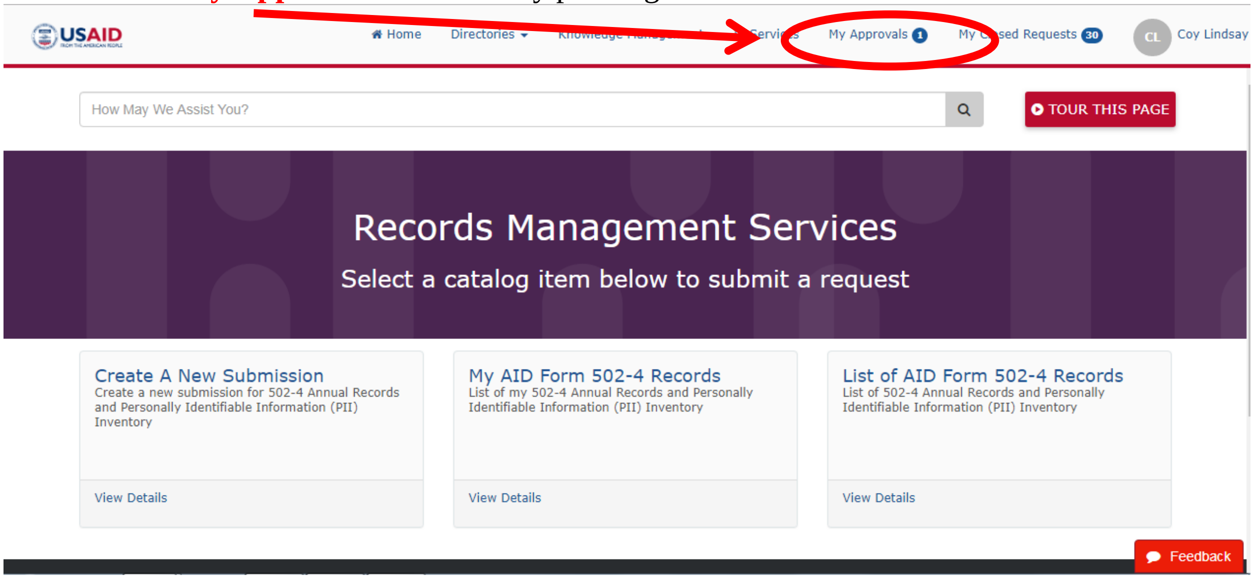
The Office/Division supervisor is responsible for ensuring M/B/IO submissions are sent to M/MS/IRD. However, the Office/Division supervisor has the ability to also review submissions for accuracy.

Using this system will enable the user to:

1) Easily request change amendments directed towards each individual entry,
2) Quickly receive record concerns from users in the workflow, and
3) Approve the entire submission.

4.1 Office/Division Supervisor Review

The Office/Division Supervisor will be notified via email that they have a submission pending their review. A hyperlink within the email will take them directly to the pending submission. However, the Office/Division Supervisor can also go to the home page and select **My Approvals** to locate any pending actions.



Please refer to Section 3.1 (RLO Review) and 3.2 (RLO Approval). The review and approval process is exactly the same for the Office/Division Supervisor. However, once the Office/Division Supervisor accepts the submission, it is routed to M/MS/IRD.

5. M/MS/IRD Review Procedures

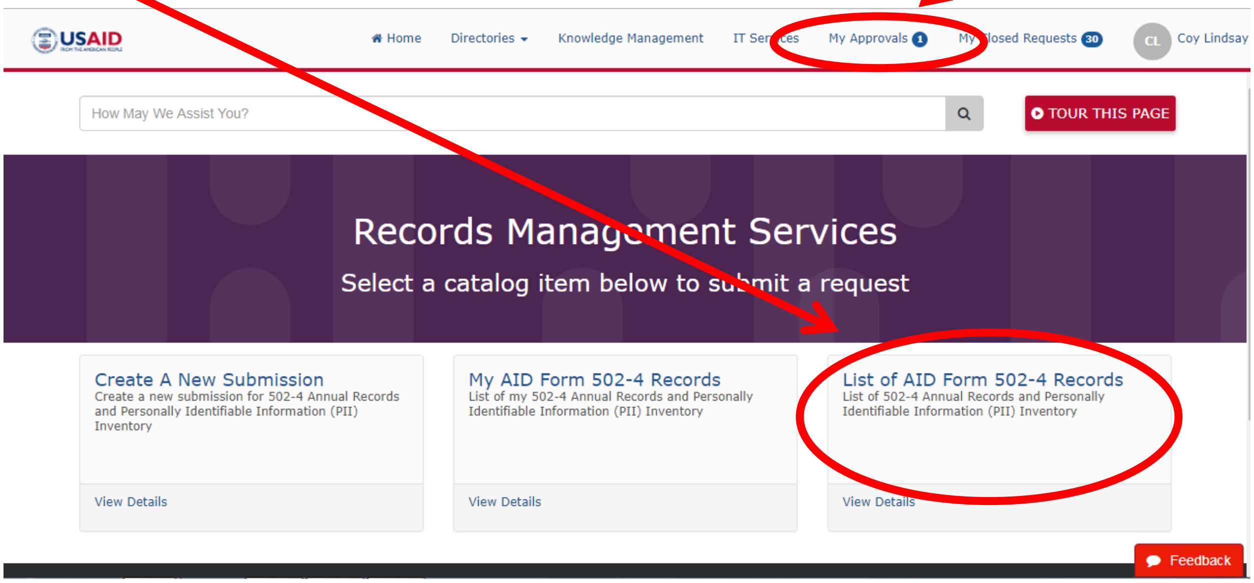
M/MS/IRD is responsible for reviewing the Agency's submissions for accuracy.

Using this system will enable the user to:

1) Easily request change amendments directed towards each individual entry,
2) Quickly receive record concerns from users in the workflow,
3) Approve the entire submission, and
4) Store approved submissions for future use.

5.1 M/MS/IRD Review

M/MS/IRD will be notified via email that they have a submission pending their review. A hyperlink within the email will take them directly to the pending submission. However, M/MS/IRD can also go to the home page and select **My Approvals** or click on the **List of AID Form 502-4 Records** to locate any pending actions.



Please refer to Section 3.1 (RLO Review) and 3.2 (RLO Approval). The review and approval process is exactly the same for M/MS/IRD. When M/MS/IRD accepts the submission it will be stored **here** for the initiator and **here** for M/MS/IRD, for future use and the initiator and RLO will be notified via email of the approval.