



**USAID**  
FROM THE AMERICAN PEOPLE

# Form 502-4 Detailed Instructions

A Mandatory Reference for ADS Chapter 502

Partial Revision Date: 11/03/2020  
Responsible Office: M/MS/IRD  
File Name: 502maf\_110320

## 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
6	10/20/2020	V6	Updating screen shots to reflect changes in form

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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.

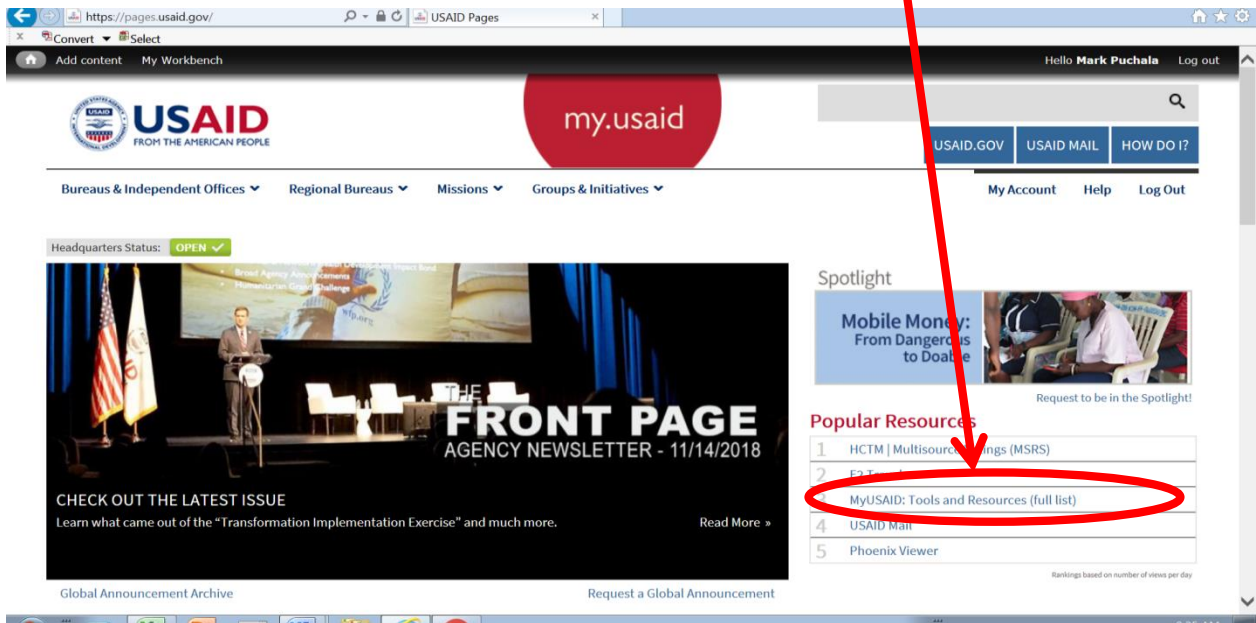
Using this system will enable the user to:

- 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.

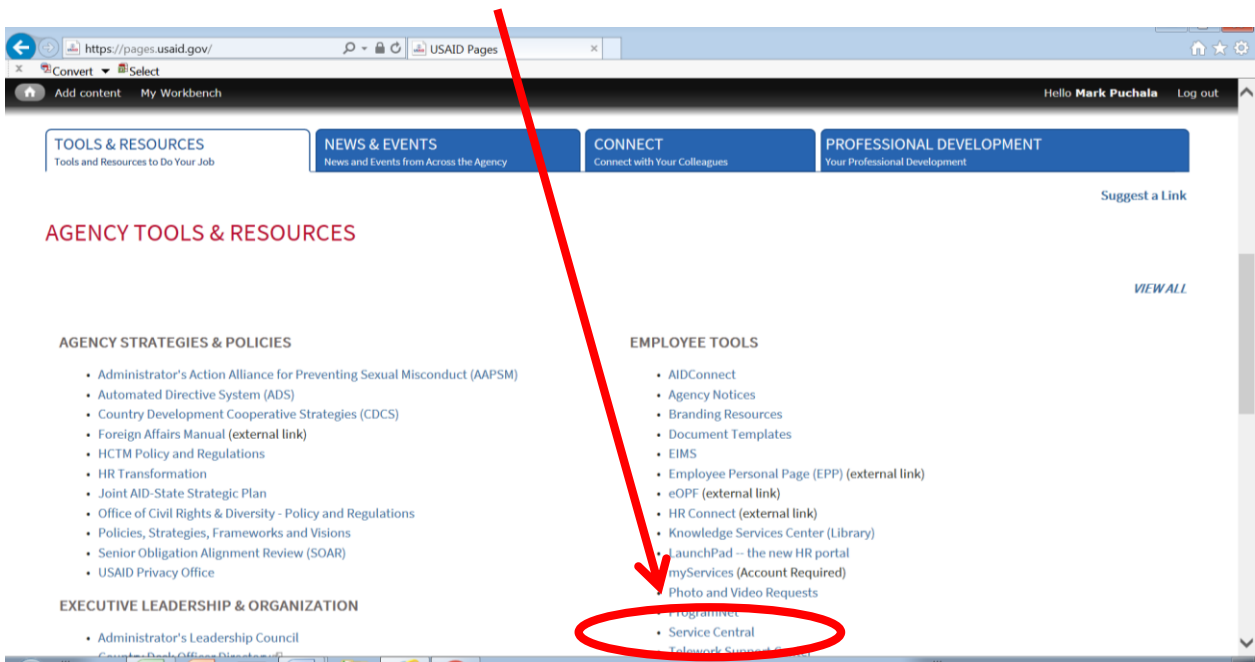
## 2.1 Locating USAID Form 502-4 in Service Central

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:

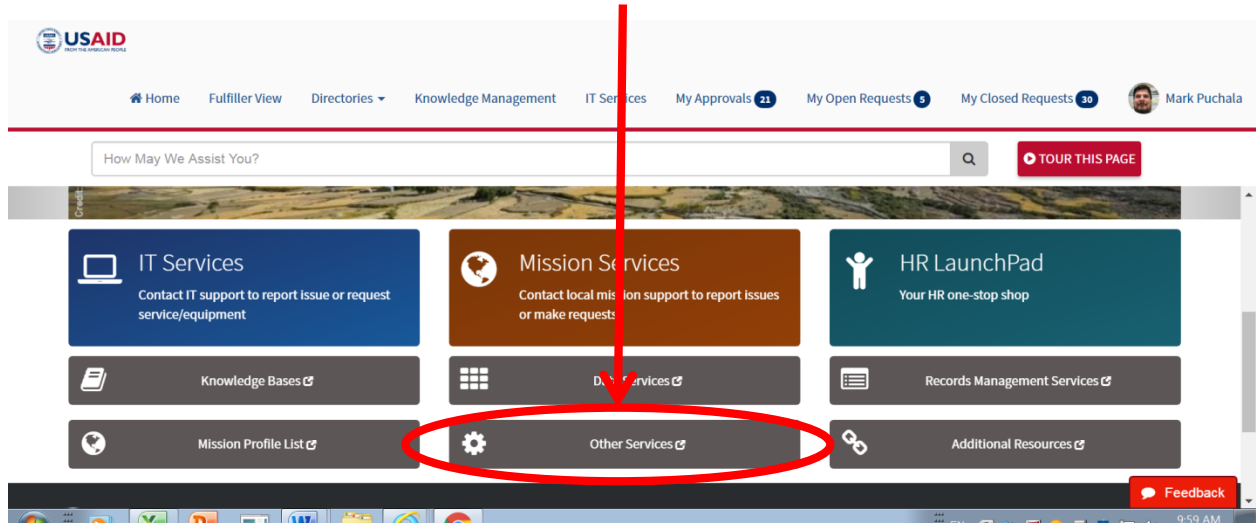
1. First open a browser with my.usaid.gov. (<https://pages.usaid.gov/>) Once on that page, select the MyUSAID **Tools and Resources (full list)** choice.



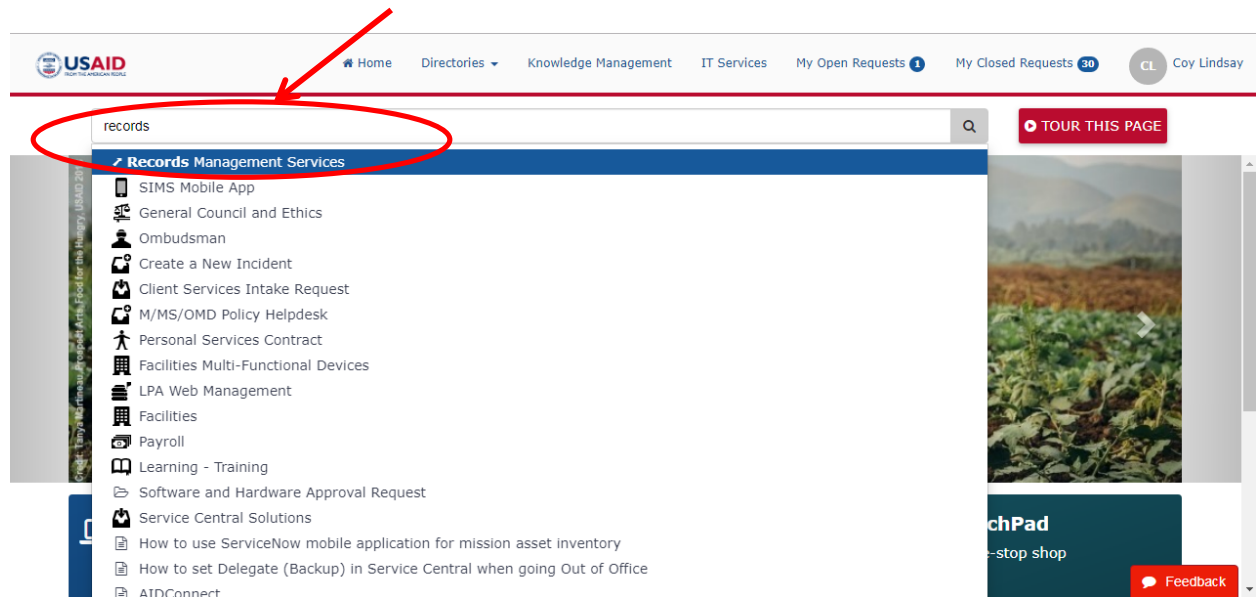
2. Once on the Agency Tools and Resources page, select **Service Central** from the Service Central Page, under the HR LaunchPad box.



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.

The screenshot shows the USAID Records Management Services page. At the top, there is a navigation bar with the USAID logo and links for Home, Directories, Knowledge Management, IT Services, My Open Requests (1), My Closed Requests (30), and a user profile for Coy Lindsay. Below the navigation bar is a search bar with the placeholder text "How May We Assist You?" and a "TOUR THIS PAGE" button. The main content area features a dark purple header with the text "Records Management Services" and "Select a catalog item below to submit a request". Below this header are three white boxes, each representing a service option: "Create A New Submission", "My AID Form 502-4 Records", and "List of AID Form 502-4 Records". Each box contains a brief description and a "View Details" link. A "Feedback" button is located in the bottom right corner of the page.

## 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 screenshot shows the USAID Records Management Services page. The navigation bar includes links for Home, Directories, Knowledge Management, IT Services, My Open Requests (1), My Closed Requests (30), and a user profile for Coy Lindsay. Below the navigation bar is a search bar with the text "How May We Assist You?" and a "TOUR THIS PAGE" button. The main content area is titled "Records Management Services" and "Select a catalog item below to submit a request". Three catalog items are displayed: "Create A New Submission", "My AID Form 502-4 Records", and "List of AID Form 502-4 Records". The "Create A New Submission" item is circled in red, and a red arrow points from the text above to it. A "Feedback" button is visible in the bottom right corner.

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 or 10 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.

AID Form 502-4 Annual Records and Personally Identifiable Information (PII) Inventory

For Records Maintained from [Date] through [Date]

Date Prepared: 08/22/2019

Submitted By: Coy Lindsay

Organization ID: M/MS/IRD

Organization Unit Name: INFORMATION AND RECORDS DIVI

Records Liaison Officer (RLO): [Dropdown]

Office/Division Supervisor: [Dropdown]

Organization ID Not Available: [Dropdown]

Washington/Mission: [Radio buttons]


Save

File Plan

Title Or Description	Item number	Description Of Records	Disposition Authority	Medium	Location	Category	Update Frequency	Update Frequency of Essential Records
----------------------	-------------	------------------------	-----------------------	--------	----------	----------	------------------	---------------------------------------

Feedback

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

 [Home](#) [Directories](#) [Knowledge Management](#) [IT Services](#) [My Open Requests](#) [My Closed Requests](#) CL Coy Lindsay

## U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

### AID Form 502-4 Annual Records and Personally Identifiable Information (PII) Inventory

For Records Maintained from  through

**Date Prepared**

**Submitted By**

**Organization ID**

**Organization Unit Name**

**Records Liaison Officer (RLO)**

**Office/Division Supervisor**

Organization ID Not Available  
**Washington/Mission**  
 Washington  Mission

**Save**

### File Plan

[Toggle Filters](#)

Title Or Description	Item number	Description Of Records	Disposition Authority	Medium	Location	Category	Update Frequency	Update Frequency of Essential Records	Feedback
----------------------	-------------	------------------------	-----------------------	--------	----------	----------	------------------	---------------------------------------	----------

## 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.

The screenshot displays the USAID AID Form 502-4 Annual Records and Personally Identifiable Information (PII) Inventory interface. The header section includes fields for Date Prepared (2019-09-22), Submitted By (Coy Lindsay), Organization ID (M/MS/IRD), and Organization Unit Name (INFORMATION AND RECORDS DIV). Below this is a 'File Plan' section with a 'Toggle Filter' button and a list of checkboxes to hide/show table columns. A red arrow points from the 'NEW' button in the table header to the 'NEW' button in the 'File Plan' section.

Title Or Description	Item number	Description Of Records	Disposition Authority	Medium	Location	Category	Update Frequency	Update Frequency of Essential Records
----------------------	-------------	------------------------	-----------------------	--------	----------	----------	------------------	---------------------------------------

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.

### File Plan

Toggle Filters

Use the checkboxes to hide/show the table columns

- |   |   |  |   |
|---|---|--|---|
| <input checked="" type="checkbox"/> Title Or Description          | <input checked="" type="checkbox"/> Item number | <input checked="" type="checkbox"/> Description Of Records | <input checked="" type="checkbox"/> Disposition Authority |
| <input checked="" type="checkbox"/> Medium                        | <input checked="" type="checkbox"/> Location    | <input checked="" type="checkbox"/> Category               | <input checked="" type="checkbox"/> Update Frequency      |
| <input checked="" type="checkbox"/> Update Frequency of Essential | <input type="checkbox"/> Has PII                | <input type="checkbox"/> PII Type                          | <input type="checkbox"/> Number Of PII Records            |
| <input type="checkbox"/> SORN                                     |   |  |   |

Title Or Description	Item number	Description Of Records	Disposition Authority	Medium	Location	Category	Update Frequency	Update Frequency of Essential Records
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## 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. **Location** – In this field, add the location(s) of the records.
8. **Update Frequency** – A drop-down menu to indicate how frequently the records are updated.
9. **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. If Essential Records are indicated a new field appears.
10. **Location of Essential Records** – In this field, add the location(s) of the essential records.
11. **Update Frequency of Essential Records** – A drop-down menu to indicate how frequently the essential records are updated.

The screenshot shows the USAID File Plan - new record form. The form is divided into two main sections: File Plan and Disposition Authority. The File Plan section includes fields for Title or Description (Collection Name), Item number, and Description of Records. The Disposition Authority section includes fields for Disposition Authority, Medium, Location, Update Frequency, Category, Location of Essential Records, and Update Frequency of Essential Records. A checkbox for Has PII is located at the bottom left. Red circles with numbers 1 through 11 are placed around the form, with arrows pointing to the corresponding fields: 1 points to Title or Description, 2 to Item number, 3 to Description of Records, 4 to Has PII, 5 to Disposition Authority, 6 to Medium, 7 to Location, 8 to Update Frequency, 9 to Category, 10 to Location of Essential Records, and 11 to Update Frequency of Essential Records. The USAID logo is in the top left, and navigation links like Home, Fulfiller View, Directories, Knowledge Management, IT Services, My Approvals, My Open Requests, and My Closed Requests are in the top right. A user profile for Coy Lindsay is also visible.

## 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 **three** Privacy fields when the PII Box is checked. The rest of the fields are completed as in Section 2.7.

The screenshot shows a form section for entering PII data. At the top, there is a checkbox labeled 'Has PII' which is checked. Below it is a dropdown menu labeled 'Number of PII Records' with a search icon and a magnifying glass. Below that is a text input field labeled '\*SORN'. At the bottom is a section titled 'PII Type' with two columns of radio button options. Three red circles with numbers 1, 2, and 3 are overlaid on the form, with arrows pointing to the 'Has PII' checkbox, the 'Number of PII Records' dropdown, and the 'PII Type' section respectively.

1. **Has PII? Checkbox** – Checking this box indicates that there is PII in the records. Checking this box will cause the three fields below to appear to describe the type and volume of PII contained in the records.
2. **Number of PII Records** – This is an approximate number of *people* whose PII is contained in the record **set**. The Privacy Office understands that this is a number that will vary over time; **select the number range to reflect the** closest estimate you can get for the time you are completing the form.

This is a close-up of the 'Number of PII Records' dropdown menu. The menu is open, showing a list of ranges: '-- None --', '< 25', '26-200', '201-999', '1000 - 9999', '10000 - 99999', '100000 - 499999', '500000 - 999999', and '> 1000000'. The first option, '-- None --', is highlighted in blue. Below the dropdown, the 'Citizenship' and 'Other Employee Identifier' radio buttons are partially visible.

3. **SORN** – If you retrieve records by PII and a System of Record Notice (SORN) applies to this collection of PII, please select the SORN from the list. The list includes USAID, Department of State, and government wide SORNs. If no SORN is required, please choose “None Needed”

-- None --

Has PII

Number of PII Records

-- None --

**SORN**

usaid

- USAID-01 Foreign Service Personnel Records**
- USAID-029 On-Line Collaboration Records
- USAID-04 Position Classification Records
- USAID-08 Personnel Security and Suitability Investigations Records
- USAID-09 Criminal Law Enforcement Records
- USAID-10 Employee Relations Records
- USAID-16 Employee Time, Attendance, and Payroll Records
- USAID-17 Employee-Owned or Leased Property Records
- USAID-18 Employee Use of Property Owned or Leased by the U.S. Government Records

Date of Birth

Driver's License Number

Education Record

Personal Cell Phone Number

Personal E-Mail Address

Place of Birth

4. **PII Type** – Please check off the types of PII that are collected in this record set.

**PII Type**

<input type="checkbox"/> Age	<input type="checkbox"/> Name
<input type="checkbox"/> Biometric Record	<input type="checkbox"/> None
<input type="checkbox"/> Citizenship	<input type="checkbox"/> Other Employee Identifier
<input type="checkbox"/> Credit Card Number	<input type="checkbox"/> Other Financial Account Number
<input type="checkbox"/> Criminal Record	<input type="checkbox"/> Other Physical Characteristic
<input type="checkbox"/> Date of Birth	<input type="checkbox"/> Passport Number
<input type="checkbox"/> Driver's License Number	<input type="checkbox"/> Patient Identification Number
<input type="checkbox"/> Education Record	<input type="checkbox"/> Personal Cell Phone Number
<input type="checkbox"/> Employee Number	<input type="checkbox"/> Personal E-Mail Address
<input type="checkbox"/> Employment Record	<input type="checkbox"/> Place of Birth
<input type="checkbox"/> Family Information	<input type="checkbox"/> Race or Ethnicity
<input type="checkbox"/> Financial Record	<input type="checkbox"/> Religion
<input type="checkbox"/> Green Card Number	<input type="checkbox"/> Salary Record
<input type="checkbox"/> Home Address	<input type="checkbox"/> Security Clearance
<input type="checkbox"/> Home Phone Number	<input type="checkbox"/> Sexual Orientation
<input type="checkbox"/> Marital status	<input type="checkbox"/> Social Security Number
<input type="checkbox"/> Medical Record,	<input type="checkbox"/> Tax Identification Number
<input type="checkbox"/> Military Record	<input type="checkbox"/> Truncated SSN
<input type="checkbox"/> Mother's Maiden Name	<input type="checkbox"/> Work E-Mail Address

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

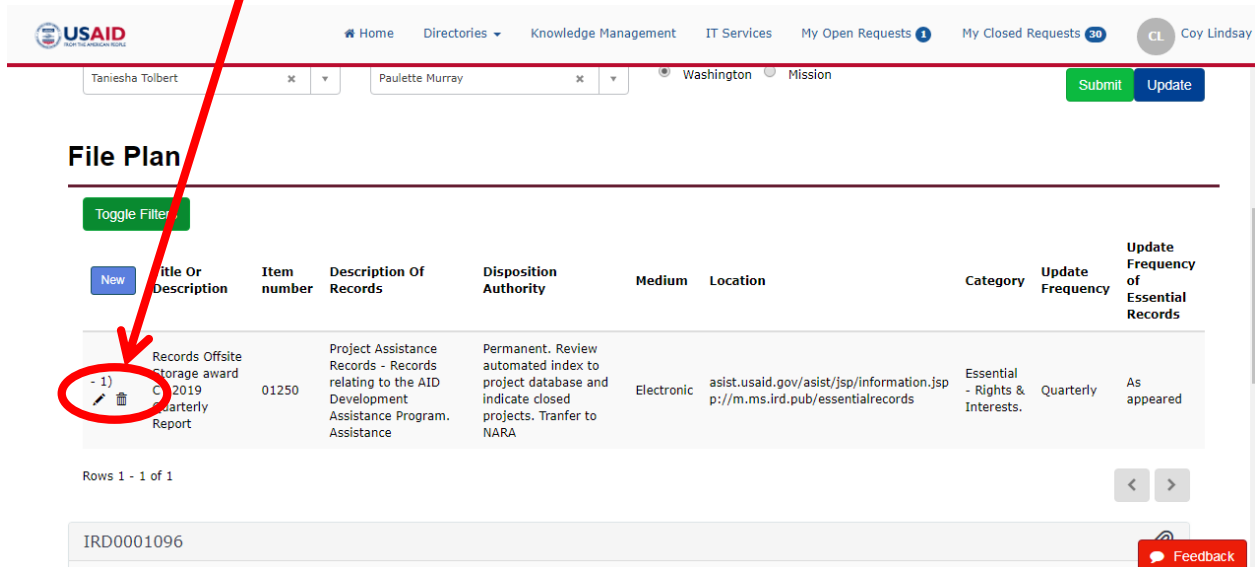
The screenshot shows a web application interface for USAID. At the top left is the USAID logo. The top navigation bar includes links for Home, Directories, Knowledge Management, IT Services, My Open Requests (1), and My Closed Requests (3). A user profile for 'Coy Lindsay' is visible in the top right. The main content area is titled 'Description Of Records' and contains several input fields: a large text area for the record description, a 'Location' field, two dropdown menus for 'Update Frequency' and 'Update Frequency of Essential Records' (both set to '-- None --'), and a 'SORN' field. A checkbox labeled 'Has PII' is also present. A blue 'Save (Ctrl + s)' button is located at the bottom right of the form, circled in red with an arrow pointing to it. Below the form is a 'Required information' section with a table of headers: Title Or Description, Item number, Medium, Category, Location, Update Frequency, and Update Frequency of Essential Records. At the bottom left is the URL 'https://usaiditsm.service-now.com/sphome?id=sphome7' and at the bottom right is a 'Feedback' button.





## 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.



The screenshot displays the USAID File Plan interface. At the top, there is a navigation bar with the USAID logo, user names (Tanesha Tolbert, Paulette Murray), and location (Washington, Mission). Below this is a search bar and buttons for 'Submit' and 'Update'. The main section is titled 'File Plan' and includes a 'Toggle Filter' button. A table lists records with columns for 'Title Or Description', 'Item number', 'Description Of Records', 'Disposition Authority', 'Medium', 'Location', 'Category', 'Update Frequency', and 'Update Frequency of Essential Records'. The first record is circled in red, and its edit and delete icons are also circled in red. Below the table, there is a 'Rows 1 - 1 of 1' indicator and a 'Feedback' button.

	Title Or Description	Item number	Description Of Records	Disposition Authority	Medium	Location	Category	Update Frequency	Update Frequency of Essential Records
 	Records Offsite Storage award C 2019 Quarterly Report	01250	Project Assistance Records - Records relating to the AID Development Assistance Program. Assistance	Permanent. Review automated index to project database and indicate closed projects. Transfer to NARA	Electronic	assist.usaid.gov/assist/jsp/information.jsp/m.ms.ird.pub/essentialrecords	Essential - Rights & Interests.	Quarterly	As appeared

## 2.10 Submitting your form for **RL** Review

After you have completed all of your record entries, you will then require the review of your **RL**. Click on the **SUBMIT** button. Your **RL** 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.

**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**  
AID Form 502-4 Annual Records and Personally Identifiable Information (PII) Inventory  
For Records Maintained from 10/01/2018 through 09/30/2019

Date Prepared: 22/02/22  
Submitted By: Coy Lindsay  
Organization ID: N/A  
Organization Unit Name: INFORMATION AND RECORDS DIVI

Manual Organization ID Entry: Please Type Organization ...  
Organization ID Not Available: Washington/Reserve

Records Liaison Officer (RLO): Samantha Tolbert  
Office/Division Supervisor: Isabelle Harney

**Submit**

### File Plan

Title Or Description	Item number	Description Of Records	Disposition Authority	Medium	Location	Category	Update Frequency	Update Frequency of Essential Records
Records Office Storage - Record CY 2019 Quarterly Report	01250	Project Assistance Records - Records relating to the AID Development Assistance Program Assistance	Permanent, Review authorized. Move to project database and archive closed records. Transfer to NARA	Electronic	\\slr.usaid.gov\share\log\information\sp\... //www.usaid.gov/external/records	Essential - Rights & Interests	Quarterly	As approved

Item 1 - 1 of 1

IR00001096

Type your message here... **Send**

CL Coy Lindsay  
IR00001096 Created

## 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.

USAID  
Home Directories Knowledge Management IT Services My Open Requests 1 My Closed Requests 30 CL Coy Lindsay

How May We Assist You?

### Records Management Services

Select a catalog item below to submit a request

**Create A New Submission**  
Create a new submission for 502-4 Annual Records and Personally Identifiable Information (PII) Inventory  
[View Details](#)

**My AID Form 502-4 Records**  
List of my 502-4 Annual Records and Personally Identifiable Information (PII) Inventory  
[View Details](#)

**List of AID Form 502-4 Records**  
List of 502-4 Annual Records and Personally Identifiable Information (PII) Inventory  
[View Details](#)

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

USAID  
Home Directories Knowledge Management IT Services My Closed Requests 30 CL Coy Lindsay

### Ird Annual Records Tables

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

## 2.12 Duplicating and Updating Your Existing Submission for the next year

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.

USAID  
Home Directories Knowledge Management IT Services My Open Requests 1 My Closed Requests 30 CL Coy Lindsay

How May We Assist You? TOUR THIS PAGE

### Records Management Services

Select a catalog item below to submit a request

- Create A New Submission**  
Create a new submission for 502-4 Annual Records and Personally Identifiable Information (PII) Inventory  
View Details
- My AID Form 502-4 Records**  
List of my 502-4 Annual Records and Personally Identifiable Information (PII) Inventory  
View Details
- List of AID Form 502-4 Records**  
List of 502-4 Annual Records and Personally Identifiable Information (PII) Inventory  
View Details

Feedback

Once selected, the user will have the option to choose a submission to duplicate and update.

USAID  
Home Directories Knowledge Management IT Services My Closed Requests 30 CL Coy Lindsay

### Ird Annual Records Tables

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

First, select the **DUPLICATE** button to copy a previous submission. Next, update the information to reflect the new fiscal year. Lastly, choose the **UPDATE** button to save the information.

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT  
AID Form 502-4 Annual Records and Personally Identifiable Information (PII) Inventory

For Records Maintained from: 11/01/2020 Through: 11/28/2020

Washington  Mission  Organization ID Not Available

Date Prepared: 11/22/2019 Submitted By: Coy Lindsay Organization ID: M/MS/IRD

Records Liaison (RL): Coy Lindsay Office/Division Supervisor: Coy Lindsay Organization Unit Name: INFORMATION AND RECORDS DIVISION

Update Submit Duplicate

Feedback

If access to a previous submission not made by yourself is required, please contact the Records Inquiry Mailbox ([recordsinquiry@usaid.gov](mailto:recordsinquiry@usaid.gov)).

### 3. **RL** Review Procedures

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

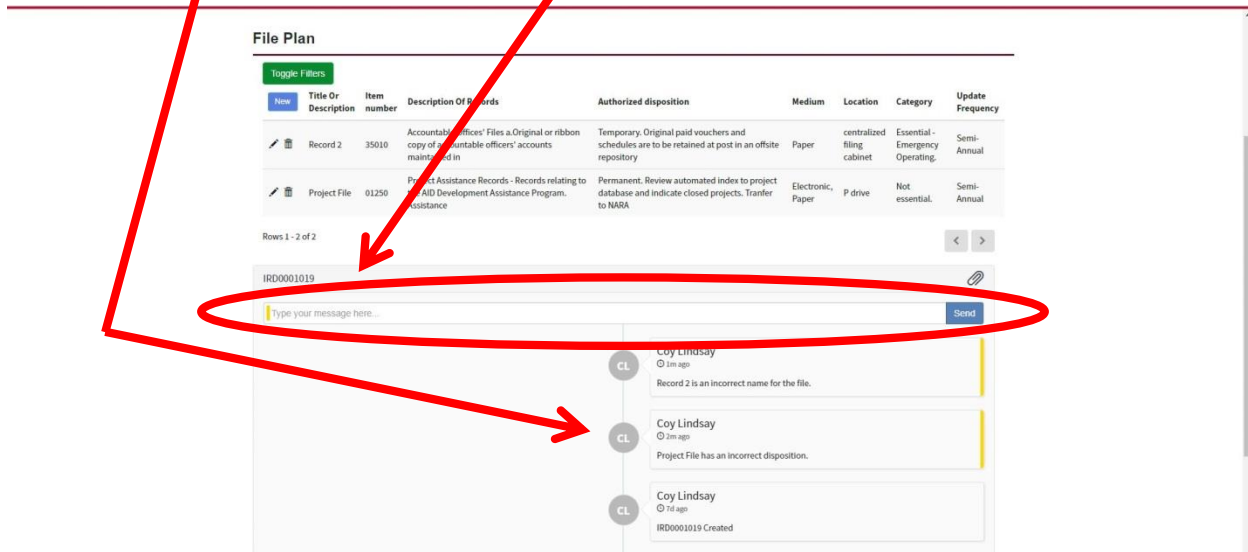
Using this system will enable the user to:

- 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.

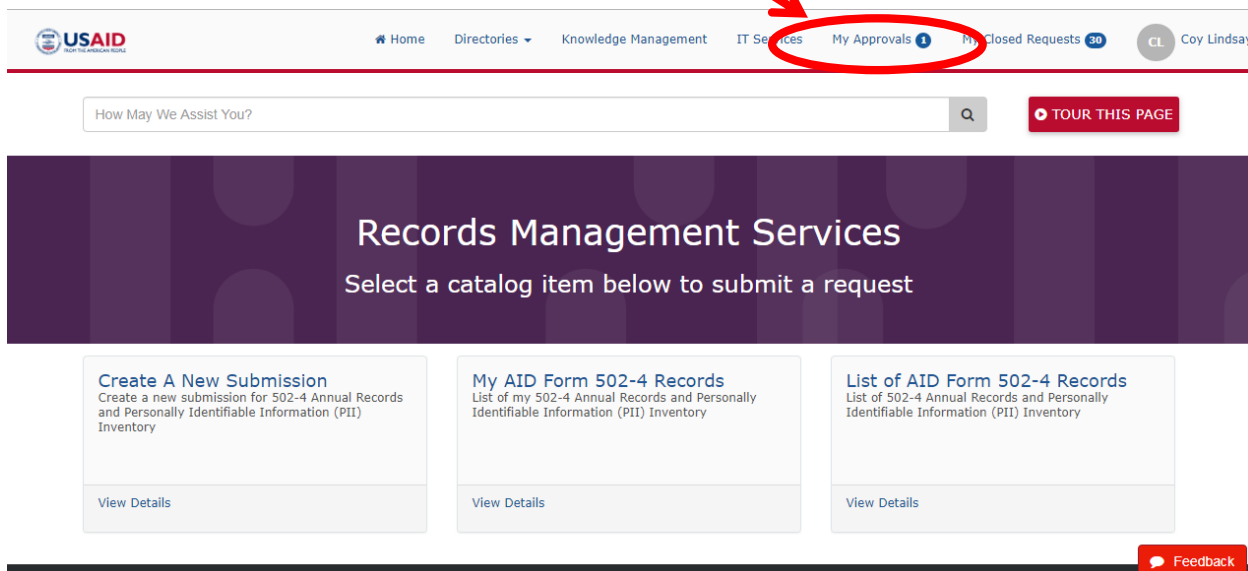
### 3.1 RL Review

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

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



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

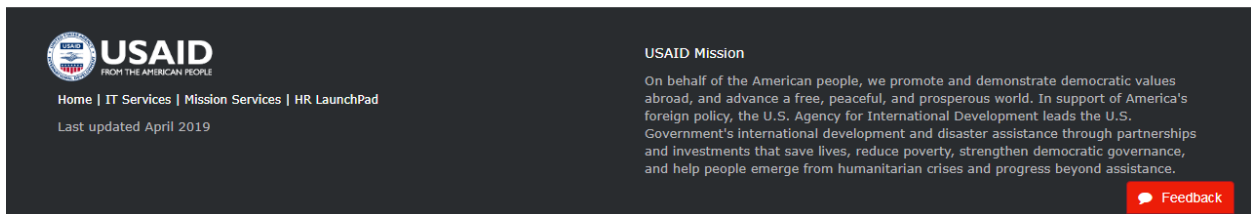
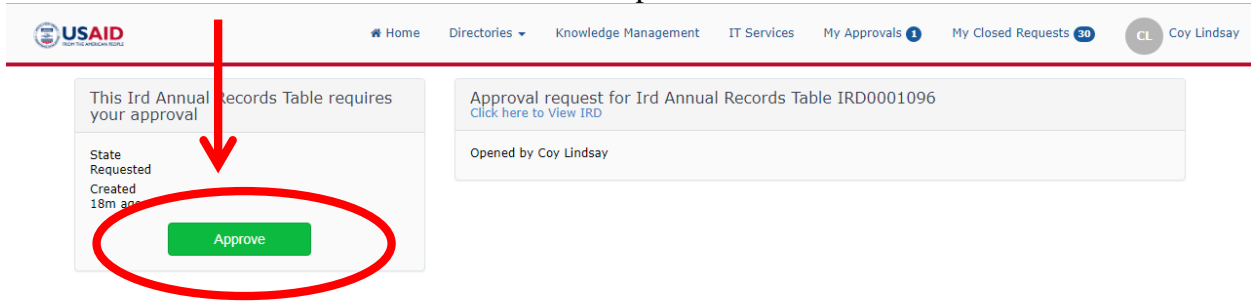


The initiator will be notified if work notes are made by the reviewer via email. The initiator must make the necessary corrections and add work notes indicating they made the changes. (Work notes initiate emails to users thus notifying them that there is something pending review).

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

### 3.2 RL Approval

The **RL** 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 **RL** 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.

The screenshot shows the USAID Records Management Services website. The top navigation bar includes links for Home, Directories, Knowledge, and Services. The 'My Approvals' link is circled in red, and a red arrow points to it from the text above. The page features a search bar with the text 'How May We Assist You?' and a 'TOUR THIS PAGE' button. The main content area is titled 'Records Management Services' and includes the instruction 'Select a catalog item below to submit a request'. There are three main service cards: 'Create A New Submission', 'My AID Form 502-4 Records', and 'List of AID Form 502-4 Records'. Each card has a 'View Details' button. A 'Feedback' button is located in the bottom right corner.

Please refer to Section 3.1 (RL Review) and 3.2 (RL 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.

The screenshot shows the USAID Records Management Services homepage. The top navigation bar includes the USAID logo, a search bar with the text "How May We Assist You?", and a "TOUR THIS PAGE" button. The main header area is purple and contains the text "Records Management Services" and "Select a catalog item below to submit a request". Below this are three white cards with blue text: "Create A New Submission", "My AID Form 502-4 Records", and "List of AID Form 502-4 Records". The "List of AID Form 502-4 Records" card is circled in red. A red arrow points from the "My Approvals" link in the top navigation bar to the "List of AID Form 502-4 Records" card. Another red arrow points from the "List of AID Form 502-4 Records" card to the "View Details" button below it. A "Feedback" button is located in the bottom right corner.

USAID  
How May We Assist You?   [TOUR THIS PAGE](#)

Home Directories Knowledge Management IT Services **My Approvals 1** My Closed Requests 30 CL Coy Lindsay

### Records Management Services

Select a catalog item below to submit a request

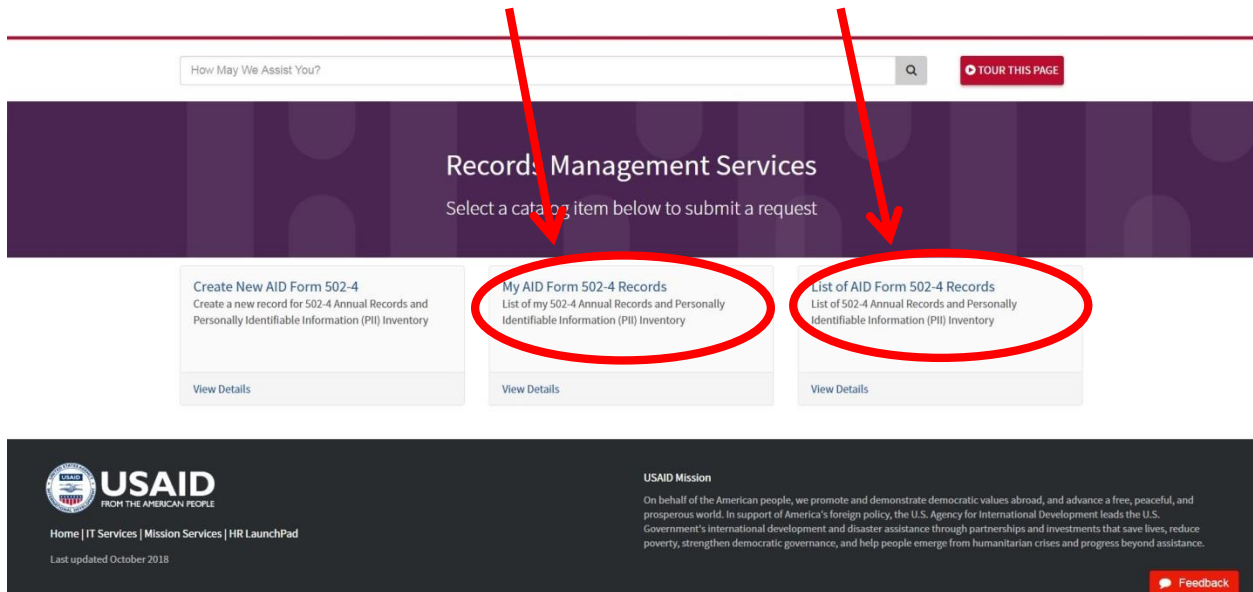
**Create A New Submission**  
Create a new submission for 502-4 Annual Records and Personally Identifiable Information (PII) Inventory  
[View Details](#)

**My AID Form 502-4 Records**  
List of my 502-4 Annual Records and Personally Identifiable Information (PII) Inventory  
[View Details](#)

**List of AID Form 502-4 Records**  
List of 502-4 Annual Records and Personally Identifiable Information (PII) Inventory  
[View Details](#)

[Feedback](#)

Please refer to Section 3.1 (RL Review) and 3.2 (RL 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 **RL** will be notified via email of the approval.



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