Federal Communications Commission

Office of the Managing Director

**Privacy Impact Assessment[1] (PIA) for the
Integrated Library System (ILS) Records**

April 28, 2009

FCC Bureau/Office: Office of Managing Director (OMD)
Division: Office of the Secretary (OS)

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[1] This questionnaire is used to analyze the impacts on the privacy and security of the personally identifiable information (PII) that is being maintained in these records and files.

The *Privacy Act of 1974*, as amended, 5 U.S.C. 552a, requires Federal agencies to take special measures to protect personal information about individuals when the agencies collect, maintain, and use such personal information.

Having established through the **Privacy Threshold Assessment** that this information system contains information about individuals, *e.g.*, personally identifiable information (PII), it is important that when the FCC makes changes to such an information system, the FCC then analyzes:

(a) What changes are being made to the information that the system presently collects and maintains; and/or

(b) What new information will be collected and maintained to determine the continuing impact(s) on the privacy of the individuals.

The Privacy Impact Assessment template's purpose is to help the bureau/office to evaluate the changes in the information in the system and to make the appropriate determination(s) about how to treat this information, as required by the Privacy Act's regulations.

Section 1.0 Information System's Contents:

1.1   Status of the Information System:

☐ New information system—Implementation date:
☒ Revised or upgraded information system—Revision or upgrade date: April 2009

If this system is being revised—what will be done with the newly derived information:

☒ Placed in existing information system—Implementation Date: April 2009
☐ Placed in new auxiliary/ancillary information system—Date:
☐ Other use(s)—Implementation Date:

Please explain your response:

The Office of the Secretary in the Office of Managing Director (OMD-OS) is making various minor revisions to the Integrated Library System (ILS) Records information system, which includes the personally identifiable information (PII) that is covered by the system of records notice (SORN) FCC/OMD-12, "Integrated Library System (ILS) Records" SORN. OMD-OS has upgraded parts of this information system and added a routine use, "breach notification," as required by OMB Memorandum M-07-16 (May 22, 2007).

1.2   Has a Privacy Threshold Assessment been done?

☐ Yes
Date:
☒ No

If a Privacy Threshold Assessment has not been done, please explain why not:

In 2006, the FCC determined that the Integrated Library System (ILS) Records information system contained personally identifiable information (PII) and created a system of records, FCC/OMD-12, "Integrated Library System (ILS) Records" to cover the PII. The FCC subsequently published this SORN in the *Federal Register* on April 5, 2006, see 71 FR 17255, 17254).

If the Privacy Threshold Assessment (PTA) has been completed, please skip to Question 1.15

1.3   Has this information system, which contains information about individuals, *e.g.*, personally
        identifiable information (PII), existed under another name, *e.g.*, has the name been changed or
        modified?

        ☐ Yes
        ☒ No

        If yes, please explain your response:

        The FCC created the Integrated Library System (ILS) Records information system as part of the
        library automation plan. This information system has never existed under another name, nor has
        the name been changed since the SORN was published in the *Federal Register* on April 5, 2006.

1.4   Has this information system undergone a "substantive change" in the system's format or
        operating system?

        ☐ Yes
        ☒ No

        If yes, please explain your response:

        The staff in the Office of the Secretary (OS) has made only minor updates to the operating
        system, *etc*., for the Integrated Library System (ILS) Records information system.

If there have been no such changes, please skip to Question 1.6.

1.5   Has the medium in which the information system stores the records or data in the system changed
        from paper files to electronic medium (computer database); or from one electronic information
        system to another, *i.e.*, from one database, operating system, or software program, *etc.*?

        ☐ Yes
        ☐ No

        If yes, please explain your response:

1.6   Has this information system operated as part of another information system or was it linked to
        another information system:

        ☐ Yes
        ☒ No

        If yes, please explain your response:

        The Integrated Library System (ILS) Records information system is a "stand alone" information
        system. It has no links to any other FCC or non-FCC information systems.

If the information system is not part of, nor linked to another information system, please skip to Question 1.8

1.7   If so, was it operated by another bureau/office or transferred from another Federal agency to the
        FCC?

        ☐ Yes
        ☐ No

        Please explain your response:

1.8   What information is the system collecting, analyzing, managing, storing, transferring, *etc.*:

Information about FCC Employees:

☐ No FCC employee information
☒ FCC employee's name
☐ Other names used, *i.e.*, maiden name, *etc*.
☒ FCC badge number (employee ID)
☐ SSN
☐ Race/Ethnicity
☐ Gender
☐ U.S. Citizenship
☐ Non-U.S. Citizenship
☐ Biometric data
　　☐ Fingerprints
　　☐ Voiceprints
　　☐ Retina scans/prints
　　☐ Photographs
　　☐ Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc*.
☐ Birth date/age
☐ Place of birth
☐ Medical data
☐ Marital status
☐ Spousal information
☐ Miscellaneous family information
☐ Home address
☐ Home address history
☐ Home telephone number(s)
☐ Personal cell phone number(s):
☐ Personal fax number(s)
☐ Personal e-mail address(es):
☐ Emergency contact data:
☐ Credit card number(s)
☐ Driver's license
☐ Bank account(s)
☐ FCC personal employment records
☐ Military records
☐ Financial history
☐ Foreign countries visited
☐ Law enforcement data
☐ Background investigation history
☐ National security data
☐ Communications protected by legal privileges
☐ Digital signature
☒ Other information: The information system's data also include FCC employee's (including full-time employees, paid interns, co-op students, and temporary hires) organizational unit (bureau/office), telephone number, office/workstation address, library barcode identifier, and position title.

Information about FCC Contractors:

☐ No FCC contractor information
☒ Contractor's name
☐ Other name(s) used, *i.e.*, maiden name, *etc.*
☐ FCC Contractor badge number (Contractor ID)
☐ SSN
☐ U.S. Citizenship
☐ Non-U.S. Citizenship
☐ Race/Ethnicity
☐ Gender
☐ Biometric data
    ☐ Fingerprints
    ☐ Voiceprints
    ☐ Retina scans/prints
    ☐ Photographs
    ☐ Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*
☐ Birth date/Age
☐ Place of birth
☐ Medical data
☐ Marital status
☐ Spousal information
☐ Miscellaneous family information
☐ Home address
☐ Home address history
☐ Home telephone number(s)
☐ Personal cell phone number(s):
☐ Personal fax number(s)
☐ Personal e-mail address(es):
☐ Emergency contact data:
☐ Credit card number(s)
☐ Driver's license number(s)
☐ Bank account(s)
☐ Non-FCC personal employment records
☐ Military records
☐ Financial history
☐ Foreign countries visited
☐ Law enforcement data
☐ Background investigation history
☐ National security data
☐ Communications protected by legal privileges
☐ Digital signature
☒ Other information: The information system's data also include FCC contractor's (who is given permission by his/her Contracting Officer Technical Representative (COTR)) organizational unit (bureau/office), telephone number, office/workstation address, library barcode identifier, and position title.

Information about FCC Volunteers, Visitors, Customers, and other Individuals:

☒ Not applicable
☐ Individual's name:

- ☐ Other name(s) used, *i.e.*, maiden name, *etc.*
- ☐ FCC badge number (employee ID)
- ☐ SSN:
- ☐ Race/Ethnicity
- ☐ Gender
- ☐ Citizenship
- ☐ Non-U.S. Citizenship
- ☐ Biometric data
  - ☐ Fingerprints
  - ☐ Voiceprints
  - ☐ Retina scans/prints
  - ☐ Photographs
  - ☐ Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*
- ☐ Birth date/Age:
- ☐ Place of birth
- ☐ Medical data
- ☐ Marital status
- ☐ Spousal information
- ☐ Miscellaneous family information
- ☐ Home address
- ☐ Home address history
- ☐ Home telephone number(s)
- ☐ Personal cell phone number(s):
- ☐ Personal fax number(s)
- ☐ Personal e-mail address(es):
- ☐ Emergency contact data:
- ☐ Credit card number(s)
- ☐ Driver's license number(s)
- ☐ Bank account(s)
- ☐ Personal e-mail address(es)
- ☐ Non-FCC personal employment records
- ☐ Military records
- ☐ Financial history
- ☐ Foreign countries visited
- ☐ Law enforcement data
- ☐ Background investigation history
- ☐ National security data
- ☐ Communications protected by legal privileges
- ☐ Digital signature
- ☐ Other information:

Information about Business Customers and others (usually not considered "personal information"):

- ☒ Not applicable
- ☐ Name of business contact/firm representative, customer, and/or others
- ☐ Race/Ethnicity
- ☐ Gender
- ☐ Full or partial SSN:
- ☐ Business/corporate purpose(s)
- ☐ Other business/employment/job description(s)

☐ Professional affiliations
☐ Business/office address
☐ Intra-business office address (office or workstation)
☐ Business telephone number(s)
☐ Business cell phone number(s)
☐ Business fax number(s)
☐ Business pager number(s)
☐ Business e-mail address(es)
☐ Bill payee name
☐ Bank routing number(s)
☐ Income/Assets
☐ Web navigation habits
☐ Commercially obtained credit history data
☐ Commercially obtained buying habits
☐ Credit card number(s)
☐ Bank account(s)
☐ Other information:

1.9   What are the sources for the information that you are collecting:

☒ Personal information from FCC employees: Full-time employees, paid interns, temporary hires, and co-op students.
☒ Personal information from FCC contractors: Contractors who have been given permission by their COTRs to use the FCC library.
☐ Personal information from non-FCC individuals and/or households:
☐ Non-personal information from businesses and other for-profit entities:
☐ Non-personal information from institutions and other non-profit entities:
☐ Non-personal information from farms:
☐ Non-personal information from Federal Government agencies:
☐ Non-personal information from state, local, or tribal governments:
☐ Other sources:

1.10   Will the information system obtain, use, store, analyze, *etc*. information about individuals *e.g*, personally identifiable information (PII), from other information systems, including both FCC and non-FCC information systems?

☐ Yes
☒ No

Please explain your response:

The Integrated Library System (ILS) Records information system is a "stand alone" information system. It has no links with any other FCC or non-FCC information systems.

If the information system does not use any PII from other information systems, including both FCC and non-FCC information systems, please skip to Question 1.15.

1.11   If the information system uses information about individuals from other information systems, what information will be used?

☐ FCC information system and information system name(s):
☐ Non-FCC information system and information system name(s):
☐ FCC employee's name:

- [ ] (non-FCC employee) individual's name
- [ ] Other names used, *i.e.*, maiden name, *etc.*
- [ ] FCC badge number (employee ID)
- [ ] Other Federal Government employee ID information, i.e., badge number, *etc.*
- [ ] SSN:
- [ ] Race/Ethnicity
- [ ] Gender
- [ ] U.S. Citizenship
- [ ] Non-U.S. Citizenship
- [ ] Biometric data
  - [ ] Fingerprints
  - [ ] Voiceprints
  - [ ] Retina scan/prints
  - [ ] Photographs
  - [ ] Other physical information, *i.e.*, hair color, eye color, identifying marks, *etc.*
- [ ] Birth date/Age
- [ ] Place of birth
- [ ] Medical data
- [ ] Marital status
- [ ] Spousal information
- [ ] Miscellaneous family information:
- [ ] Home address
- [ ] Home address history
- [ ] Home telephone number(s)
- [ ] Personal cell phone number(s)
- [ ] Personal fax number(s)
- [ ] Personal e-mail address(es)
- [ ] Emergency contact data
- [ ] Credit card number(s)
- [ ] Driver's license
- [ ] Bank account(s)
- [ ] Personal e-mail address(es)
- [ ] Non-FCC personal employment records
- [ ] Non-FCC government badge number (employee ID)
- [ ] Law enforcement data
- [ ] Military records
- [ ] National security data
- [ ] Communications protected by legal privileges
- [ ] Financial history
- [ ] Foreign countries visited
- [ ] Background investigation history
- [ ] Digital signature
- [ ] Other information:

Information about Business Customers and others (usually not considered "personal information"):

- [ ] Not applicable
- [ ] Name of business contact/firm representative, customer, and/or others
- [ ] Race/Ethnicity
- [ ] Gender

☐ Full or partial SSN:
☐ Business/corporate purpose(s)
☐ Other business/employment/job description(s)
☐ Professional affiliations
☐ Intra-business office address (office or workstation)
☐ Business telephone number(s)
☐ Business cell phone number(s)
☐ Business fax number(s)
☐ Business e-mail address(es)
☐ Bill payee name
☐ Bank routing number(s)
☐ Income/Assets
☐ Web navigation habits
☐ Commercially obtained credit history data
☐ Commercially obtained buying habits
☐ Personal clubs and affiliations
☐ Credit card number(s)
☐ Bank account(s)
☐ Other information:

1.12   Will this information system derive new information, records, or data, or create previously
        unavailable information, records, or data, through aggregation or consolidation from the
        information that will now be collected via this link to the other system, including information,
        records, or data, that is being shared or transferred from the other information system(s)?

        ☐ Yes
        ☐ No

        Please explain your response:

1.13   Can the information, whether it is: (a) in the information system, (b) in a linked information
        system, and/or (c) transferred from another system, be retrieved by a name or a "unique
        identifier" linked to an individual, *e.g.*, SSN, name, home telephone number, fingerprint, voice
        print, *etc.*?

        ☐ Yes
        ☐ No

        Please explain your response:

1.14   Will the new information include personal information about individuals, *e.g.*, personally
        identifiable information (PII), be included in the individual's records, or be used to make a
        determination about an individual?

        ☐ Yes
        ☐ No

        Please explain your response:

1.15   Under the *Privacy Act of 1974*, as amended, 5 U.S.C. 552a, Federal agencies are required to have a System of Records Notice (SORN) for an information system like this one, which contains information about individuals, *e.g.*, "personally identifiable information" (PII).

A System of Records Notice (SORN) is a description of how the information system will collect, maintain, store, and use the personally identifiable information (PII).

Is there a SORN that already covers this PII in this information system?

☒ Yes
☐ No

If yes, what is this System of Records Notice (SORN): This system of records notice, FCC/OMD-12, "Integrated Library System (ILS) Records," was published in the *Federal Register* on April 5, 2006.

Please provide the citation that was published in the *Federal Register* for the SORN: 71 FR 17234, 17255.

If a SORN already covers this PII, please skip to **Section 2.0 System of Records Notice (SORN) Update** to address any changes to this SORN.

If a system of records notice (SORN) <u>does</u> <u>not</u> presently cover the information about individuals in this system, then it is necessary to determine whether a new FCC system of records notice must be created for the information.

1.16   If this information system is not covered by a system of records notice (SORN), does the information system exist by itself, or does it now, or did it previously exist as a component or subset of another SORN?

☐ Yes
☐ No

If yes, please explain what has occurred:

What is the System of Records Notice (SORN) of which it is currently or previously a component or subset:

Please also provide the citation that was published in the *Federal Register* for the SORN:

1.17   What are the purposes or functions that make it necessary to create a new a system of records notice (SORN) for this information system, *e.g.*, why is the information being collected?

1.18   Where is this information for the system of records notice (SORN) located?

1.19   Is the use of the information both relevant and necessary to the purposes for which the information system is designed, *e.g.*, is the SORN only collecting and using information for the specific purposes for which the SORN was designed so that there is no "extraneous" information included in the database(s) or paper files?

☐ Yes
☐ No

Please explain your response:

If the use of this information is both relevant and necessary to the processes for this information system is designed, please skip to Question 1.21.

1.20   If not, why or for what reasons is the information being collected?

1.21   Is the information covered under a Security Classification as determined by the FCC Security Officer?

☐ Yes
☐ No

Please explain your response:

1.22   What is the legal authority that authorizes the development of the information system and the information/data collection?

1.23   In what instances would the information system's administrator/manager/developer permit disclosure to those groups outside the FCC for whom the information was not initially intended.

Such disclosures, which are referred to as "Routine Uses," [2] are those instances that permit the FCC to disclose information from a SORN to specific "third parties." These disclosures may be for the following reasons:
(check all that are applicable)

☐ Adjudication and litigation:
☐ Committee communications:
☐ Compliance with welfare reform requirements:
☐ Congressional inquiries:
☐ Emergency response by medical personnel and law enforcement officials:
☐ Employment, security clearances, licensing, contracts, grants, and other benefits by the FCC:

☐ Employment, security clearances, licensing, contracts, grants, and other benefits upon a request from another Federal, state, local, tribal, or other public authority, *etc.*:
☐ FCC enforcement actions:
☐ Financial obligations under the Debt Collection Information Act:
☐ Financial obligations required by the National Finance Center:

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[2] Information about individuals in a system of records may routinely be disclosed for the following conditions, *e.g.,* "routine uses"; however, in each of these routine uses that are checked, the FCC will determine whether disclosure of the information, *i.e.*, records, files, documents, and data, *etc*., is compatible with the purpose(s) for which the information has been collected.

☐ First responders, *e.g.*, law enforcement, DHS, FEMA, DOD, NTIA, *etc*.:
☐ Government-wide oversight by NARA, DOJ, and/or OMB:
☐ Labor relations (NTEU):
☐ Law enforcement and investigations:
☐ Program partners, e.g., WMATA, *etc*.:
☐ Breach of Federal data:
☐ Others "third party" disclosures:

1.24   Will the information be disclosed to consumer reporting agencies?
☐ Yes
☐ No

Please explain your response:

1.25   What are the policies for the maintenance and secure storage of the information?

1.26   How is information in this system retrieved?

1.27   What policies and/or guidelines are in place on how long the bureau/office will retain the information?

1.28   Once the information is obsolete or out-of-date, what policies and procedures have the system's managers/owners established for the destruction/purging of the data?

1.29   Have the records retention and disposition schedule(s) been issued or approved by the National Archives and Records Administration (NARA)?
☐ Yes
☐ No

Please explain your response:

If a NARA records retention and disposition schedule has been approved for this System of Records Notice (SORN), please skip to **Section 2.0 System of Records Notice (SORN) Update**:

1.30   If there is no NARA approved records retention and disposal schedule, has there been any coordination with the Performance Evaluation and Records Management Branch (PERM) or the Records Officer?
☐ Yes
☐ No

Please explain your response:

If this is a <u>new</u> System of Records Notice (SORN), please skip to **Section 3.0 Development, Management, and Deployment and/or Sharing of the Information:**

Section 2.0 System of Records Notice (SORN) Update:

If a System of Records Notice (SORN) currently covers the information, please provide information to update and/or revise the SORN:

2.1   Have there been any changes to the Security Classification for the information covered by the system of records notice (SORN) from what was originally determined by the FCC Security Officer?

☐ Yes
☒ No

Please explain your response:

The FCC's Security Operations Center has not assigned a security classification to the Integrated Library System (ILS) Records information system and to the personally identifiable information (PII) that it collects, uses, and maintains, which is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN.

2.2   Have there been any changes to the location of the information covered by the system of records notice (SORN)?

☐ Yes
☒ No

Please explain your response:

The information, including the personally identifiable information (PII) that is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, is located in the Office of the Secretary, Federal Communications Commission (FCC), 445 12th Street, S.W., Washington, DC 20554.

2.3   Have there been any changes to the categories of individuals covered by the system of records notice (SORN)?

☒ Yes
☐ No

Please explain your response:

The categories of individuals that are covered by FCC/OMD-12, "Continuity of Operations Plan (COOP" SORN, include:

(1) FCC employees (including full-time employees, temporary hires, interns, co-op students), and

(2) contractors working at the FCC, who have been given permission by their Contracting Officer Technical Representative (COTR) to register as a FCC library user.

2.4   Have there been any changes to the categories of records, *e.g.*, types of information (or records) that the system of records notice (SORN) collects, maintains, and uses?

☐ Yes
☒ No

Please explain your response:

The categories of records, including the personally identifiable information (PII) that is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, include:

(1) FCC employee's name and his/her organizational unit (bureau/office), office telephone number, office/workstation address, FCC badge number, library barcode identifier, and position title; and

(2) FCC contractor's name (who has been given permission by his/her COTR) and his/her organizational unit (bureau/office) and his/her office telephone number, office/workstation address, FCC badge number, library barcode identifier, and position title.

2.5　　Have there been any changes to the legal authority under which the FCC collects and maintains the information covered by the system of records notice (SORN)?

☐ Yes
☒ No

Please explain your response:

The legal authorities for maintenance of the personally identifiable information (PII) covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, are 44 U.S.C. 3101 and 47 U.S.C. 154(l).

2.5　　Have there been any changes to the purposes for collecting, maintaining, and using the information covered by the system of records notice (SORN)?

☐ Yes
☒ No

Please explain your response:

The purposes for collecting maintaining, and using the information in the Integrated Library System (ILS) Records information system, including the personally identifiable information (PII) covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, are:

(1) to keep track of items borrowed by registered users from the FCC Library's collection, and

(2) to ensure that all items are returned to the FCC Library in a timely manner and/or upon a FCC employee's resignation from the Commission.

2.6　　Have there been any changes to the Routine Uses [3] under which disclosures are permitted to "third parties" as noted in the system of records notice (SORN)?

☒ Yes
☐ No

Please check all Routine Uses that apply and provide any explanation as required:

☒ Adjudication and litigation:
☐ Committee communications:

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[3] Information about individuals in a system of records may routinely be disclosed for the following conditions, *e.g.,* "routine uses"; however, in each of these routine uses that are checked, the FCC will determine whether disclosure of the information, *i.e.*, records, files, documents, and data, *etc*., is compatible with the purpose(s) for which the information has been collected.

☐ Compliance with welfare reform requirements:
☒ Congressional inquiries:
☐ Emergency response by medical personnel and law enforcement officials:
☐ Employment, security clearances, licensing, contracts, grants, and other benefits by the FCC:
☐ Employment, security clearances, licensing, contracts, grants, and other benefits upon a request from another Federal, state, local, tribal, or other public authority, *etc.*:
☐ FCC enforcement actions:
☐ Financial obligations under the Debt Collection Act:
☐ Financial obligations required by the National Finance Center:
☐ First responders, *e.g.*, law enforcement, DHS, FEMA, DOD, NTIA, *etc.*:
☒ Government-wide oversight by NARA, DOJ, and/or OMB:
☐ Labor relations:
☒ Law enforcement and investigations:
☐ Program partners, *e.g.*, WMATA:
☒ Breach of Federal data: OMB Memorandum M-07-16 (May 22, 2007).
☐ Others Routine Use disclosures not listed above:

2.8   Have there been any changes as to whether the FCC will permit the information covered by the system of records notice (SORN) can be disclosed to consumer reporting agencies?

☐ Yes
☒ No

Please explain your response:

Information in the Integrated Library System (ILS) Records information system, including the personally identifiable information covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, is not disclosed to any consumer reporting agencies.

2.9   Have there been any changes to the policies and/or guidelines for the storage and maintenance of the information covered by this system of records notice (SORN)?

☐ Yes
☒ No

Please explain your response:

The information in the Integrated Library System (ILS) Records information system, including the personally identifiable information (PII) that is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, includes the electronic records and data that are stored in the ILS computer network database.

2.10   Have there been any changes to how the information covered by the system of records notice (SORN) is retrieved or otherwise accessed?

☐ Yes
☒ No

Please explain your response:

System records of borrowed items in the Integrated Library System (ILS) Records information system's electronic databases are retrieved by the patron's name (registered user), bureau/office, office telephone number, office/workstation address, library barcode number, and position title.

2.11   Have there been any changes to the safeguards that the system manager has in place to protect unauthorized access to the information covered by the system of records notice (SORN)?

☐ Yes
☒ No

Please explain your response:

Access to information in the Integrated Library System (ILS) Records information system, including an individual's personally identifiable information (PII) that is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, is restricted to the FCC Library's administrative office personnel and to the supervisory staff in the Office of the Secretary and in the Associate Managing Director - Administrative Operations (AMD-AO). Other FCC employees and contractors may be granted on a "need-to-know" basis, as dictated by their job duties and responsibilities.

The ILS's electronic records and data are maintained in the FCC computer network database, which is secured through controlled access and passwords restricted to administrative staff in the Information Technology Center, Associate Managing Director - Information Technology (AMD-ITC). The computer terminals are located in non-public rooms. The rooms are locked outside of business hours. Information that is resident on the network servers is backed-up daily to magnetic media. Back-up tapes are stored on-site and in an off-site storage location.

Please note that you must also provide an update of the current protections, safeguard, and other security measures that are in place in this SORN in **Section 5.0 Safety and Security Requirements:**

2.12   Have there been any changes to the records retention and disposition schedule for the information covered by the system of records notice (SORN)? If so, has the system manager worked with the Performance Evaluation and Records Management (PERM) staff to insure that this revised schedule been approved by the National Archives and Records Administration (NARA)?

☐ Yes
☒ No

Please explain your response:

The Performance Evaluation and Records Management Division of Office of Managing Director (OMD-PERM) has not determined a records retentions schedule for the Integrated Library System (ILS) Records information system's electronic database, including the personnally identifiable information that is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN. No records will be destroyed until a disposal schedule is approved by the National Archives and Records Administration (NARA).

Section 3.0 Development, Management, and Deployment and/or Sharing of the Information:

3.1   Who will develop the information system(s) covered by this system of records notice (SORN)?

☐ Developed wholly by FCC staff employees:
☐ Developed wholly by FCC contractors:
☒ Developed jointly by FCC employees and contractors:
☐ Developed offsite primarily by non-FCC staff:
☐ COTS (commercial-off-the-shelf-software) package:
☐ Other development, management, and deployment/sharing information arrangements:

3.2   Where will the information system be hosted?

☒ FCC Headquarters
☐ Gettysburg
☐ San Diego
☐ Colorado
☐ New York
☐ Columbia Lab
☐ Chicago
☐ Other information:

3.3   Who will be the primary manager(s) of the information system who will be responsible for assuring access to, proper use of, and protecting the security and integrity of the information? (Check all that apply and provide a brief explanation)

☒ FCC staff in this bureau/office exclusively: The staff in the Office of the Secretary (OS) and the Associate Managing Director - Administrative Operations (AMD-AO) has responsibility for access and proper use of the information in the Integrated Library System (ILS) Records information system.
☐ FCC staff in other bureaus/offices:
☐ Information system administrator/Information system developers:
☐ Contractors:
☐ Other information system developers, *etc*:

3.4   What are the FCC's policies and procedures that the information system administrators and managers use to determine who gets access to the information in the system's files and/or database(s)?

Access to the records and data that are stored on the FCC's computer network databases is restricted to the staffs in Office of the Secretary (OS), in the FCC Library, and in the AssociateManaging Director - Administrative Operations (AMD-AO). Other FCC employees and contractors working at the FCC may be grant access on a "need to know" basis as dictated by their job duties and responsibilities.

3.5   How much access will users have to data in the information system(s)?

☐ Access to all data:
☒ Restricted access to data, as determined by the information system manager, administrator, and/or developer: FCC employees and contractors in OS and the FCC Library may be granted access on a "need-to-know" basis as part of their job duties and responsibilities.
☐ Other access policy:

3.6   Based on the Commission policies and procedures, which user group(s) may have access to the information at the FCC:
(Check all that apply and provide a brief explanation)

☒ Information system managers: FCC supervisory staff in the Office of the Secretary (OS) and the FCC Library.
☒ Information system administrators: OS staff and the ITC employees and contractors who manage the IT systems that hold and process the PII data.
☐ Information system developers:
☒ FCC staff in this bureau/office: FCC employees in OS, AMD-AO, and the FCC Library are granted access based on a "need to know" basis.

☐ FCC staff in other bureaus/offices:
☐ FCC staff in other bureaus/offices in FCC field offices:
☒ Contractors: Contractors working at the FCC are granted access based on a "need to know" basis.
☐ Other Federal agencies:
☐ State and/or local agencies:
☐ Businesses, institutions, and other groups:
☐ International agencies:
☐ Individuals/general public:
☐ Other groups:

3.7   If contractors are part of the staff in the FCC who collect, maintain, and access the information, does the IT supervisory staff ensure that contractors adhere fully to the Privacy Act provisions, as required under subsection (m) of the Privacy Act, as amended, 5 U.S.C. 552a(m)?

☒ Yes
☐ No

Please explain your response:

The supervisory staff in the Information Technology Center of the Associate Managing Director (AMD-ITC) provides periodic privacy training to the IT contractors who handle the PII contained in the Integrated Library System (ILS) Records information system.

3.8   Do any Section M contract(s) associated with the information system covered by this system of records notice (SORN) include the required FAR clauses (FAR 52.224-1 and 52.224-2)?

☒ Yes
☐ No

Please explain your response:

The contracts for contractors who work with the Integrated Library System (ILS) Records information system, including the PII covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, comply with the FAR clauses.

3.9   Does the information system covered by this system of records notice (SORN) transmit/share personal information, *e.g.*, personally identifiable information (PII), between the FCC information technology (ITC) network(s) and a public or other non-FCC IT network(s), which are not covered by this Privacy Impact Assessment?

☐ Yes
☒ No

Please explain your response:

The Integrated Library System (ILS) Records information system, which includes the PII covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, is a "stand alone" information system. It has no links to any other FCC network systems.

If there is no information sharing or transmission, please skip to **Section 4.0 Data Quality, Utility, Objectivity, and Integrity Requirements:**

3.10   If the information system covered by this system of records noticed (SORN) transmits/shares personal information between the FCC network and a public or other non-FCC network, which is not covered by this Privacy Impact Assessment, what information is shared/transmitted/disclosed and for what purposes?

3.11   If there is such transmission/sharing of personal information, how is the information secured for transmission—what security measures are used to prevent unauthorized access during transmission, *i.e.*, encryption, *etc.*?

3.12   If there is sharing or transmission to other information systems, with what other non-FCC organizations, groups, and individuals will the information be shared?
        (Check all that apply and provide a brief explanation)

☐ Other Federal agencies:
☐ State, local, or other government agencies:
☐ Businesses:
☐ Institutions:
☐ Individuals:
☐ Other groups:

If there is no "matching agreement," *e.g., Memorandum of Understand (MOU), etc*., please skip to **Section 4.0 Data Quality, Utility, Objectivity, and Integrity Requirements:**

3.13   What kind of "matching agreement," *e.g.*, *Memorandum of Understanding (MOU)*, *etc.*, as defined by 5 U.S.C. 552a(u) of the Privacy Act, as amended, is there to cover the information sharing and/or transferal with the external organizations?

3.14   Is this a new or a renewed matching agreement?

☐ New matching agreement
☐ Renewed matching agreement

Please explain your response:

3.15   Has the matching agreement been reviewed and approved (or renewed) by the FCC's Data Integrity Board, which has administrative oversight for all FCC matching agreements?

☐ Yes
     If yes, on what date was the agreement approved:
☐ No

Please explain your response:

3.17   How is the information that is covered by this system of records notice (SORN) transmitted or disclosed with the external organization(s) under the *MOU* or other "matching agreement?"

3.18   How is the shared information secured by the recipient under the *MOU*, or other "matching agreement?"

Section 4.0 Data Quality, Utility, Objectivity, and Integrity Requirements:

OMB regulations require Federal agencies to insure that the information/data that they collect and use meets the highest possible level of quality and integrity. It is important, therefore, that the information the Commission's information systems use meets the "benchmark standards" established for the information.

4.1   How will the information that is collected from FCC sources, including FCC employees and contractors, be checked for accuracy and adherence to the Data Quality guidelines? (Please check all that apply)

☒ Information is processed and maintained only for the purposes for which it is collected.
☒ Information is reliable for its intended use(s).
☒ Information is accurate.
☒ Information is complete.
☒ Information is current.
☐ Not applicable:

Please explain any exceptions or clarifications:

The information contained in the Integrated Library System (ILS) Records information system, including the personally identifiable information (PII) covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, is collected from FCC employees, including full-time employees, paid interns, co-op students, temporary hires, and contractors (who are granted access with the approval of their COTR) who register to use the FCC Library. These individual must provide the correct information, since knowingly providing false or misleading information may result in the loss of library privileges.

If the Data Quality Guidelines do not apply to the information in this information system, please skip to **Section 5.0 Safety and Security Requirements:**

4.2   Is any information collected from non-FCC sources; if so, how will the information sources be checked for accuracy and adherence to the Data Quality guidelines? (Please check all that apply and provide an explanation)

☐ Yes, information is collected from non-FCC sources:
    ☐ Information is processed and maintained only for the purposes for which it is collected:

    ☐ Information is reliable for its intended use(s):
    ☐ Information is accurate:
    ☐ Information is complete:
    ☐ Information is current:
☒ No information comes from non-FCC sources:

Please explain any exceptions or clarifications:

Only FCC employees, including full-time employees, paid interns, co-op students, temporary hires, and contractors (with the approval of their COTR) may use the FCC Library collection.

If the information that is covered by this system of records notice (SORN) is not being aggregated or consolidated, please skip to Question 4.5.

4.3   If the information that is covered by this system of records notice (SORN) is being aggregated or consolidated, what controls are in place to insure that the information is relevant, accurate, and complete?

4.4.   What policies and procedures do the information system's administrators and managers use to insure that the information adheres to the Data Quality guidelines both when the information is obtained from its sources and when the information is aggregated or consolidated for the use by the bureaus and offices?

4.5   How often are the policies and procedures checked routinely—what type of annual verification schedule has been established to insure that the information that is covered by this system of records notice adheres to the Data Quality guidelines?

The staffs in the Office of the Secretary and the FCC Library do periodic checks of the information on library patrons to insure that the information is up-to-date.

Section 5.0 Safety and Security Requirements:

5.1   How are the records/information/data in the information system covered by this system of records notice (SORN) stored and maintained?

☒ IT database management system (DBMS)
☐ Storage media including CDs, CD-ROMs, *etc*.
☒ Electronic tape
☐ Paper files
☐ Other:

5.2   Is the information collected, stored, analyzed, or maintained by this information system available in another form or from another source (other than a "matching agreement" or *MOU*, as noted above)?

☐ Yes
☒ No

Please explain your response:

All information that the Integrated Library System (ILS) Records information system collects, uses, and maintains is obtained from the data that each FCC employee or contractor provides to the FCC Library when they register as library users.

5.3   Is the information system covered by this system of records notice (SORN) part of another FCC information system that collects personally identifiable information (PII)?

☐ Yes
☒ No

Please explain your response:

The Integrated Library System (ILS) Records information system, which includes the PII covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, is a "stand alone" information system with no links to either FCC or non-FCC information systems.

If this information system is <u>not</u> part of another FCC information system, please skip to Question 5.7.

5.4   If the information system (under review here) has personally identifiable information (PII) and is part of another FCC information system, is there a transfer of records/data/information between these two FCC information system(s)?

☐ Yes
☐ No

Please explain your response:

5.5   If the information system's personally identifiable information (PII) is part of another FCC information system, does the information system have processes and/or applications that are part of those from the other FCC information systems?

☐ Yes
☐ No

Please explain your response:

5.6   If either or both such situations, as noted in Questions 5.4 and 5.5 exist, what security controls are there to protect the PII information and to prevent unauthorized access?

☐ Not applicable.

Please explain your response:

5.7   Would the unavailability of this information system prevent the timely performance of FCC operations?

☒ Yes
☐ No

Please explain your response:

The Integrated Library System (ILS) Records information system performs a necessary function for the Commission. The ILS information system collects and stores the records and data that are used to keep track of items borrowed by registered users from the FCC Library's collection and to ensure that all items are returned to the FCC Library in a timely manner and/or upon a FCC employee's resignation from the Commission, which prevents the FCC Library from losing books and other materials, which would be expensive for the Commission.

5.8   Will the information system include an externally facing information system or portal such as an Internet accessible web application at www.fcc.gov or other URL that allows customers/users to access development, production, or internal FCC networks, and which may pose potential risks to the information's security?

☐ Yes
☒ No

Please explain your response:

If the information is collected by some method or mechanism other than the externally facing information system portal at www.fcc.gov or other URL, please skip to Question 5.11.

5.9   If the information is collected via www.fcc.gov or other URL from the individuals, how does the information system notify users about the Privacy Notice:

☐ Link to the FCC's privacy policies for all users:
☐ Privacy notice displayed on the webpage:
☐ Privacy notice printed at the end of the form or document:
☐ Website uses another method to alert users to the Privacy Act Notice, as follows:
☐ If there is no link or notice, why not:

5.10   If a privacy notice is displayed, which of the following are included?

☐ Proximity and timing—the privacy notice is provided at the time and point of data collection.
☐ Purpose—describes the principal purpose(s) for which the information will be used.
☐ Authority—specifies the legal authority that allows the information to be collected.
☐ Conditions—specifies whether providing the information is voluntary, and the effects, if any, of not providing it.
☐ Disclosures—specify the routine use(s) that may be made of the information.
☐ Not applicable, as information will not be collected in this way.

Please explain your response:

5.11   Will the information system include another customer-facing web site not on www.fcc.gov or other URL?

☐ Yes
☒ No

Please explain your response:

If the information is collected by some method or mechanism other than via the FCC Internet website at www.fcc.gov or the FCC Intranet for FCC employees and contractors working at the FCC, please skip to Question 5.14.

5.12   If the information system has a customer-facing web site via the FCC Intranet for FCC employees and contractors working at the FCC, does this web site(s) have a Privacy Act Notice and how is it displayed?

☐ Yes
    ☐ Notice is displayed prominently on this FCC Intranet website:
    ☐ Link is provided to a general FCC Privacy Notice for all users:
    ☐ Privacy Notice is printed at the end of the form or document:
    ☐ Website uses another method to alert users to the Privacy Act Notice:
☐ No:

If there is no Privacy Act Notice, please explain why not:

5.13   If a privacy notice is displayed, which of the following information is included?

☐ Proximity and timing—the privacy notice is provided at the time and point of data collection.
☐ Purpose—describes the principal purpose(s) for which the information will be used.
☐ Authority—specifies the legal authority that allows the information to be collected.
☐ Conditions—specifies if providing the information is voluntary, and the effects, if any, of not providing it.
☐ Disclosures—specify the routine use(s) that may be made of the information.
☐ Not applicable, as information will not be collected in this way.

Please explain your response:

If information is collected by some method or mechanism other than by fax, e-mail, FCC form(s), or regular mail, please skip to Question 5.16.

5.14   If information is collected from the individual by fax, e-mail, FCC form(s), regular mail, or some other means not listed above, how is the privacy notice provided?

☒ Privacy notice is on the document, *e.g.*, FCC form, *etc*. FCC Library Users Registration Form.
☐ Privacy notice displayed on the webpage where the document is located:
☐ Statement on the document notifies the recipient that they may read the FCC Privacy Notice at www.fcc.gov.
☐ Website or FCC document uses other method(s) to alert users to the Privacy Act Notice:

☐ Privacy notice is provided via a recorded message or given verbally by the FCC staff handling telephone calls:
☐ No link or notice, please explain why not:
☐ Not applicable, as personally identifiable information (PII) will not be collected.

5.15   If a privacy notice is displayed, which of the following information is included?

☒ Proximity and timing—the privacy notice is provided at the time and point of data collection.
☒ Purpose—describes the principal purpose(s) for which the information will be used.
☒ Authority—specifies the legal authority that allows the information to be collected.
☒ Conditions—specifies if providing the information is voluntary, and the effects, if any, of not providing it.
☒ Disclosures—specify the routine use(s) that may be made of the information.

☐ Not applicable, as information will not be collected in any other way.

Please explain your response:

If there is no access to the information system from outside the FCC via www.FCC.gov or other URL, please skip to Question 5.17.

5.16 If consumers may access the information and/or the information system on-line via www.FCC.gov, does it identify ages or is it directed to people under 13 years old?

☐ Yes
☐ No

Please explain your response:

5.17 Will the FCC use the newly obtained information or revised information in this information covered by the existing system of records notice (SORN) to make a determination about the individual?

☐ Yes
☒ No

Please explain your response:

The FCC's Integrated Library System (ILS) Records information system, which includes the personally identifiable information (PII) that is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, is used solely to collect and store the data that FCC employees including FCC employees, interns, co-op students, and temporary hires) and contractors provide to the FCC Library staff when they register as library users.

5.18 Do individuals have the right to decline to provide personally identifiable information (PII)?

☐ Yes
☒ No

Please explain your response:

FCC staff (including FCC employees, interns, co-op students, and temporary hires) and contractors must provide their personal contract information. Failure to provide the information may prevent an employee from registering as a library user or resulting in the loss of library privileges.

5.19 Do individuals have the right to consent to particular uses of their personal information?

☐ Yes
☒ No

Please explain your response:

Individuals do not have the right to consent to particular uses of their personally identifiable information (PII) because using the FCC library is a privilege that requires employee and contractors to provide their PII that is required for the ILS information system to function properly, *e.g.*, to maintain accurate records on what materials each user has borrowed from the FCC Library.

If individuals do <u>not</u> have the right to consent to the use of their information, please skip to Question 5.23.

5.20   If individuals have the right to consent to the use of their personal information, how does the individual exercise this right?

5.21   What processes are used to notify and to obtain consent from the individuals whose personal information is being collected?

5.22   What kinds of report(s) can the information system and/or the information be used to produce on the individuals whose PII data are in the information system covered by the system of records notice (SORN)?

5.23   What safeguards and security measures, including physical and technical access controls, are in place to secure the information and to minimize unauthorized access, use, or dissemination of the information that is stored and maintained in the information system?
(Check all that apply)

☒ Account name
☒ Passwords
    ☒ Accounts are locked after a set period of inactivity
    ☒ Passwords have security features to prevent unauthorized disclosure, *e.g.*, "hacking"
    ☒ Accounts are locked after a set number of incorrect attempts
    ☐ One time password token
    ☐ Other security features:
☒ Firewall
☐ Virtual private network (VPN)
☒ Data encryption:
☒ Intrusion detection application (IDA)
☐ Common access cards (CAC)
☐ Smart cards
☐ Biometrics
☐ Public key infrastructure (PKI)
☐ Locked file cabinets or fireproof safes
☐ Locked rooms, with restricted access when not in use
☐ Locked rooms, without restricted access
☐ Documents physically marked as "sensitive"
☒ Guards
    ☒ Identification badges
    ☒ Key cards
    ☒ Cipher locks
    ☒ Closed circuit TV (CCTV)
    ☐ Other:

5.24   Please explain what staff security training and other measures are in place to assure that the security and privacy safeguards are maintained adequately?

All FCC employees and contractors who work with the information that is collected, used, stored and maintained in the Integrated Library System (ILS) Records information system, including the personally identifiable information (PII) that is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, are required to complete privacy training. In addition the staff in the FCC Library provides issues periodic warnings to the employees and contractors who have access that the PII is not to be shared or disclosed without authorization.

5.25   How often are security controls reviewed?

☐ Six months or less:
☒ One year: The staff in the Office of the Secretary is required to review the security controls in the Integrated Library System (ILS) Records information system at least annually.
☐ Two years
☐ Three years
☐ Four years
☐ Five years
☐ Other:

5.26   How often are personnel (information system administrators, users, information system/information system developers, contractors, *etc*.) who use the information system trained and made aware of their responsibilities for protecting the information?

☐ There is no training
☐ One year:
☐ Two years
☐ Three years
☐ Four years
☐ Five years
☒ Other: The FCC has also inaugerated a Commission-wide privacy training program, which requires all FCC employees and contractors to complete a privacy training course annually, beginning in September 2006.

If privacy training is provided, please skip to Question 5.28.

5.27   What are the safeguards to insure that there are few opportunities for disclosure, unavailability, modification, and/or damage to the information system covered by this system of records notice (SORN), and/or prevention of timely performance of FCC operations if operational training is not provided?

5.28   How often must staff be "re-certified" that they understand the risks when working with personally identifiable information (PII)?

☐ Less than one year:
☒ One year: The OS staff requires that the personnel who use this information system, including FCC employees and contractors working at the FCC, must be trained at once a year about their responsibilities for protecting the PII contained in the Integrated Library System (ILS) Records information system.
☐ Two years

☐ Three or more years
☐ Other re-certification procedures:

5.29 Do the Commission's training and security requirements for this information system that is covered by this system of records notice (SORN) conform to the requirements of the Federal Information Security Management Act (FISMA)?

☐ Yes
☒ No

Please explain your response:

The Integrated Library System (ILS) Records information system is a "non major" information system, and as such, it is exempt from the FISMA requirements.

If the Privacy Threshold Assessment was completed recently as part of the information system's evaluation, please skip to Question 5.34.

5.30 What is the potential impact on individuals on whom the information is maintained in the information system(s) if unauthorized disclosure or misuse of information occurs? (check one)

☒ Results in little or no harm, embarrassment, inconvenience, or unfairness to the individual.
☐ Results in moderate harm, embarrassment, inconvenience, or unfairness to the individual.
☐ Results in significant harm, embarrassment, inconvenient, or unfairness to the individual.

Please explain your response:

The Integrated Library System (ILS) Records information system requires FCC employees (including employees, interns, co-op students, and temporary hires) and contractors to provide personally identifiable information (PII) to register as a library user. However, the PII that is required is limited to the minimal information that is necessary to keep track of the borrowed library materials, i.e., no SSN or TIN information, etc., is required, the FCC believes that inadvertent disclosure of this information would pose only minimal harm to an individual.

5.31 Is the impact level for the information system(s) covered by this system of records notice (SORN) consistent with the guidelines as determined by the FIPS 199 assessment?

☒ Yes
☐ No

Please explain your response:

The Integrated Library System (ILS) Records information system is a "non major" information system, and as such, it is exempt from the FIPS assessment.

5.32 Has a "Certification and Accreditation" (C&A) been completed for the information system(s) covered this system of records notice (SORN)?

☒ Yes
☐ No

If yes, please explain your response and give the C&A completion date:

The Integrated Library System (ILS) Records information system is a "non major" information system, and as such, is exempt from the C&A requirements.

5.33   Has the Chief Information Officer (CIO) and/or the Chief Security Officer (CSO) designated this information system as requiring one or more of the following:

☐ Independent risk assessment:
☐ Independent security test and evaluation:
☐ Other risk assessment and/or security testing procedures, *etc.*:
☒ Not applicable: The Integrated Library System (ILS) Records information system is a "non major" information system, and as such, it is exempt from these requirements.

5.34   Is the system using technology in ways that the Commission has not done so previously, *i.e.*, Smart Cards, Caller-ID, *etc*?

☐ Yes
☒ No

Please explain your response:

The OS staff is making only minor, non-substantive changes to FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, which covers the personally identifiable information (PII) that is collected, used, and maintained by the Integrated Library System (ILS) Records information system. These changes do not include any new technologies or modifications to existing information technology that the Commission has not used previously.

5.35   How does the use of the technology affect the privacy of the general public and FCC employees and contractors?

The Integrated Library System (ILS) Records information system requires FCC employees and contractors who register with the FCC Library as users to provide basic information so that the ILS information system can function properly, *e.g.*, to keep tract of the materials that each library user has borrowed from the FCC Library and when the due date(s) for the materials, and that this has a very minimal impact on the privacy of these users.

5.36   Will the information system that is covered by this system of records notice (SORN) include a capability to identify, locate, and/or monitor individuals?

☒ Yes
☐ No

Please explain your response:

One of the purposes of the Integrated Library System (ILS) Records information system is to collect, store, maintain, and use the data that will allow the FCC Library staff to locate a library user to ensure that borrowed items are returned promptly.

If the information system does not include any monitoring capabilities, please skip to **Section 6.0 Information Collection Requirements under the Paperwork Reduction Act (PRA):**

5.37   If the information system includes these technical capabilities identified in Questions 5.34 through 5.36 above, what kinds of information will be collected as a function of the monitoring of individuals?

5.38   Does the information system covered by this system of records notice (SORN) contain any controls, policies, and procedures to prevent unauthorized monitoring?

☐ Yes
☐ No

Please explain your response:

Section 6.0 Information Collection Requirements under the Paperwork Reduction Act (PRA):

6.1   Does this system of records notice (SORN) require non-FCC employees and contractors to perform any paperwork or recordkeeping activities?

☐ Yes, individuals, who are <u>not</u> FCC employees or contractions, are required to complete paperwork or recordkeeping functions or activities, *i.e.*, fill out forms and/or licensees, participate in surveys, and or maintain records *etc*.

Please explain your response:

☐ No, individuals, who are <u>not</u> FCC employees or contractors, are <u>not</u> required to perform any paperwork or recordkeeping functions or activities

Please explain your response:

☒ No, this system of records notice includes <u>only</u> FCC employees and/or contractors, which exempts it from the PRA. Please skip to **Section 7.0 Correction and Redress:**

6.2   If the website requests information, such as the information necessary to complete an FCC form, license, authorization, *etc*., has the information collection covered by this system of records notice (SORN) been identified for possible inclusion under the FCC's Paperwork Reduction Act (PRA) requirements?

☐ Yes
☐ No

Please explain your response:

If there are no PRA information collections associated with the information system or its applications, please skip to **Section 7.0 Correction and Redress:**

6.3   If there are one or more PRA information collections that are covered by this system of records notice (SORN) that are associated with the information system's databases and paper files, please list the OMB Control Number, Title of the collection, and Form number(s) as applicable for the information collection(s):

6.4   If there are any FCC forms associated with the information system(s) covered by this system of records notice (SORN), do the forms carry the Privacy Act notice?

☐ Yes:
☐ No
☐ Not applicable—the information collection does not include any forms.

6.5   Have the system managers contacted the Performance Evaluation and Records Management (PERM) staff to coordinate PRA requirements and submission of the information collection to the Office of Management and Budget?

☐ Yes
☐ No

Please explain your response:

Section 7.0 Correction and Redress:

7.1   Are the procedures for individuals wishing to inquire whether this system of records notice (SORN) contains information about them consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.554 – 0.555 for the Privacy Act and Freedom of Information Act (FOIA) requirements?

☒ Yes
☐ No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

Individuals wishing to inquire whether the Integrated Library System (ILS) Records information system, which is covered by the FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, contains information about them may address their inquiries to the system manager in the Office of the Secretary (OS). This is consistent with FCC rules under 47 CFR §§ 0.554 – 0.555 for the Privacy Act, as noted in this SORN.

7.2   Are the procedures for individuals to gain access to their own records/information/data in this information system that is covered by this system of records notice (SORN) consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.554 – 0.555 for the Privacy Act and Freedom of Information Act (FOIA) requirements?

☒ Yes
☐ No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

Individuals who seek access to the information about them that is contained in the Integrated Library System (ILS) Records information system, and which is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, may address their inquiries to the system manager in the Office of the Secretary (OS). This is consistent with FCC policies and rules under 47 CFR §§ 0.554 – 0.555, as noted in the SORN.

7.3　　Are the procedures for individuals seeking to correct or to amend records/information/data about them in the information system that is covered by this system of records notice (SORN) consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.556 – 0.558?

☒ Yes
☐ No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

Individuals seeking to correct or to amend information about them in the Integrated Library System (ILS) Records information system, which is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, may address their inquiries to the system manager in the Office of the Secretary. This is consistent with FCC policies and rules under 47 CFR §§ 0.556 – 0.558, as noted in the SORN.

7.4　　Does the FCC provide any redress to amend or correct information about an individual covered by this system of records notice (SORN), and if so, what alternatives are available to the individual, and are these consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.556 – 0.558?

☒ Yes
☐ No

Please explain your response:

Individuals seeking any redress to amend or correct information about them in the Integrated Library System (ILS) Records information system, which is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, may address their inquiries to the system manager in the Associate Managing Director - Administrative Operations. This is consistent with FCC policies and rules under 47 CFR §§ 0.556 – 0.558, as noted in the SORN.

If this is a new system of records notice (SORN), please skip to Question 7.6.

7.5　　Have the sources for the categories of records in the information system(s) covered by this system of records notice (SORN) changed?

☐ Yes
☒ No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

The sources for the categories of records in the FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, which covers the PII that is collected, used, and maintained by the Integrated Library System (ILS) Records information system remain unchanged. These record sources are:

(1) FCC employees (including employees, interns, co-op students, and temporary hires): individual name, organizational unit (bureau/office), telephone number, office/workstation address, building access badge number, library barcode identifier, and position title.

(2) Contractors working at the FCC: individual name, organizational unit (bureau/office), telephone number, office/workstation address, building access badge number, library barcode identifier, and position title.

7.6   Does this system of records notice (SORN) claim any exemptions to the notification, access, and correction, and/or amendment procedures as they apply to individuals seeking information about them in this SORN, and if so, are these exemptions consistent with the FCC Privacy Manual procedures and FCC rules under 47 CFR §§ 0.561?

☐ Yes
☒ No

Please explain your response, and if this is an existing system of records notice (SORN), please specify what, if anything, is changing in this procedure:

FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, does not claim any exemption to the notification, access, and correction, and/or amendment procedures as they apply to individuals seeking information about themselves in this SORN.

7.7   What processes are in place to monitor and to respond to privacy and/or security incidents? Please specify what is changing if this is an existing system of records notice (SORN) that is being updated or revised?

The OS staff issues periodic reminders to FCC employees and contractors that the information in the Integrated Library System (ILS) Records information system's electronic records and paper files, including the PII that is covered by FCC/OMD-12, "Integrated Library System (ILS) Records" SORN, is "non public for internal use only" and that they are to keep the information confidential and to safeguard any printed materials from unauthorized disclosure.

7.8   How often is the information system audited to ensure compliance with FCC and OMB regulations and to determine new needs?

☐ Six months or less
☐ One year
☐ Two years
☐ Three years
☐ Four years
☐ Five years
☒ Other audit scheduling procedure(s): The Integrated Library System (ILS) Records information system is a "non major" information system, and as such, is exempt from any audit requirements.

Section 8.0 Consumer Satisfaction:

8.1   Is there a customer satisfaction survey included as part of the public access to the information covered by this system of records notice (SORN)?

☐ Yes
☒ No
☐ Not applicable

Please explain your response:

If there are no Consumer Satisfaction requirements, please skip to **Section 9.0 Risk Assessment and Mitigation:**

8.2   Have any potential Paperwork Reduction Act (PRA) issues been addressed prior to
        implementation of the customer satisfaction survey?

        ☐ Yes
        ☐ No

        Please explain your response:

If there are no PRA issues, please skip to **Section 9.0 Risk Assessment and Mitigation:**

8.3   If there are PRA issues, were these issues addressed in the PRA component of this PIA template?

        ☐ Yes
        ☐ No

        Please explain your response:

Section 9.0 Risk Assessment and Mitigation:

9.1   What are the potential privacy risks for the information covered by this system of records notice
        (SORN), and what practices and procedures have you adopted to minimize them?

Risks:	Mitigating factors:
a. Information system's personally identifiable information (PII) includes electronic records that are stored in the FCC's computer network databases.	a. PII that is contained in electronic records is protected in the FCC's computer network databases, which require users to provide login's and access rights to these records.
b. The Integrated Library System (ILS) Records information system includes data that are collected from FCC employees and contractors. The FCC may need do periodic checks to verify that the information it collected from its employees and contractors when they registered as library user is still accurate.	b. OS is included in the list of bureaus and offices who are notified when FCC employees retire or resign and when contractors leave the FCC so that the FCC Library can remove their names and their PII for the list of registered library users. This notification process enables the FCC Library to ensure that it maintains an up-to-date and accurate roster of registered users.

9.2   What is the projected production/implementation date for the database(s):

        Initial implementation: April 2006
        Secondary implementation: April 2009
        Tertiary implementation:
        Other implementation:

9.3   Are there any ancillary and/or auxiliary information system(s) applications linked to this information system that is covered by this system of records notice (SORN), which may also require a Privacy Impact Assessment (PIA)?

☐ Yes
☒ No

If so, please state the application(s), if a Privacy Impact Assessment (PIA) has been done, and the completion date for PIA:

At this time, the OS staff does not anticipate that there will be any new ancillary or auxiliary information systems linked to the Integrated Library System (ILS) Records information system.