COMMODITY FUTURES TRADING COMMISSION

Privacy Act of 1974; System of Records

AGENCY: Commodity Futures Trading Commission.

ACTION: Notice of Two Modified Systems of Records.

SUMMARY: In accordance with the requirements of the Privacy Act of 1974, as amended, the Commodity Futures Trading Commission (CFTC or Commission) is republishing two existing System of Record Notices (SORNs): CFTC–39, Freedom of Information Act Requests and CFTC–40, Privacy Act Requests. The modification will add three routine uses, clarify existing routine uses, and bring the SORNs in compliance with the Office of Management and Budget (OMB) Circular A–108 SORN template. Two of the new routine uses pertain to sharing information to mitigate a breach and are required by OMB Memorandum 17–12. The third new routine use is requested by the Office of Government Information Services (OGIS) to allow disclosure of personally identifiable information to OGIS for Freedom of Information Act (FOIA) dispute resolution and compliance review purposes. Other updates include identifying the specific routine uses applicable to each of the systems of records rather than relying on CFTC’s previously published blanket routine uses, and administrative updates to comply with the OMB Circular A–108 SORN template format.

DATES: Comments must be received on or before August 20, 2018. This action takes effect without further notice on August 20, 2018, unless revised pursuant to comments received.

ADDRESSES: You may submit comments identified as pertaining to “Freedom of Information Act Requests” or “Privacy Act Requests” by any of the following methods:
- Agency website, via its Comments Online process at http://comments.cftc.gov. Follow the instructions for submitting comments through the website.
- Hand Delivery/Courier: Same as Mail, above.

Please submit your comments using only one method.

All comments must be submitted in English, or if not, accompanied by an English translation. Comments will be posted as received to http://www.cftc.gov. You should submit only information that you wish to make available publicly. If you wish the Commission to consider information that you believe is exempt from disclosure under the Freedom of Information Act (FOIA), a petition for confidential treatment of the exempt information may be submitted according to the procedures established in §145.9 of the Commission’s regulations, 17 CFR 145.9.

The Commission reserves the right, but shall have no obligation, to review, pre-screen, filter, redact, refuse, or remove any or all of a submission from http://www.cftc.gov that it may deem to be inappropriate for publication, such as obscene language. All submissions that have been redacted or removed that contain comments on the merits of the notice will be retained in the comment file and will be considered as required under all applicable laws, and may be accessible under the FOIA.

FOR FURTHER INFORMATION CONTACT:
Chief Privacy Officer, privacy@cftc.gov, Office of the Executive Director, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW, Washington, DC 20581.

SUPPLEMENTARY INFORMATION:

I. The Privacy Act

Under the Privacy Act of 1974, 5 U.S.C. 552a, “system of records” is defined as any group of records under the control of a Federal government agency from which information about individuals is retrieved by name or by some identifying number, symbol, or other identifying particular assigned to the individual. The Privacy Act establishes the means by which government agencies must collect, maintain, and use information about an individual in a government system of records.

Each government agency is required to publish a notice in the Federal Register in which the agency identifies and describes each system of records it maintains, the reasons why the agency uses the information therein, the routine uses for which the agency will disclose such information outside the agency, and how individuals may exercise their rights under the Privacy Act.

In accordance with 5 U.S.C. 552(a)(r), CFTC has provided reports of these systems of records to the Office of Management and Budget (OMB) and to Congress.

II. Background

The Commodity Futures Trading Commission (CFTC or Commission) is republishing two existing SORNs: CFTC–39, Freedom of Information Act Requests and CFTC–40, Privacy Act Requests. The SORNs are being republished to add three routine uses, clarify existing routine uses, and bring the SORN in compliance with OMB Circular A–108 SORN template. The records covered under the Freedom of Information Act Requests SORN are collected and maintained to process requests made under the provisions of the FOIA, and to assist the CFTC in carrying out any other responsibilities relating to the FOIA. The records covered under the Privacy Act Requests SORN are collected and maintained to process requests made under the provisions of the Privacy Act, and to assist the CFTC in carrying out any other responsibilities relating to the Privacy Act. Two routine uses are being added to both SORNs to permit sharing with other Federal agencies or Federal entities as required by OMB Memorandum 17–12, “Preparing for and Responding to a Breach of Personally Identifiable Information.” These routine uses will assist the CFTC and/or other Federal agencies or entities in responding to a suspected or confirmed breach and/or prevent, minimize, or remedy the risk of harm to the requesters, the CFTC, the Federal government, or national security. A third routine use is being added to both SORNs to permit sharing with the National Archives and Records Administration (NARA), Office of Government Information Services (OGIS) so OGIS can review administrative policies, procedures, and compliance, and to facilitate resolutions to disputes between persons making FOIA requests and the CFTC.

Additional updates to both SORNs include clarifying the specific routine uses applicable to each system of records, and administrative updates including section name and organization updates to comply with the OMB Circular A–108 SORN template format.

SYSTEM NAME AND NUMBER

SECURITY CLASSIFICATION:
Unclassified.

SYSTEM LOCATION:
This system is located at the Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW, Washington, DC 20581. Other offices involved in the processing of requests may also maintain copies of the requests and any related internal administrative records.

SYSTEM MANAGER(S):
General Counsel, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street NW, Washington, DC 20581.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:
The collection of this information is authorized under the Freedom of Information Act, 5 U.S.C. 552, 5 U.S.C. 301.

PURPOSE(S) OF THE SYSTEM:
The information in this system is being collected to enable the CFTC to carry out its responsibilities under the FOIA. These responsibilities include enabling CFTC staff to receive, track, and respond to FOIA requests. This requires maintaining documentation gathered during the consideration and disposition process and administering annual reporting requirements.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
Individuals requesting information from the Commission pursuant to provisions of FOIA, 5 U.S.C. 552, and individuals who are the subjects of FOIA requests.

CATEGORIES OF RECORDS IN THE SYSTEM:
The system of records includes information that may contain: requests, responsive documents, internal memoranda, electronic mail, response letters, appeals of denials, appeal determinations, electronic tracking data, fee schedules, cost calculations, and assessed cost for disclosed FOIA records.

RECORD SOURCE CATEGORIES:
Individuals requesting information from the Commission pursuant to the FOIA and CFTC staff processing the requests.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:
These records and information in these records may be used:
(a) To disclose information to the National Archives and Records Administration, Office of Government Information Services (OGIS), to the extent necessary to fulfill its responsibilities in 5 U.S.C. 552(h), to review administrative agency policies, procedures, and compliance with the Freedom of Information Act, and to facilitate OGIS’ offering of mediation services to resolve disputes between persons making FOIA requests and administrative agencies;
(b) To disclose in any administrative proceeding before the Commission, in any injunctive action authorized under the Commodity Exchange Act, or in any other action or proceeding in which the Commission or its staff participates as a party or the Commission participates as amicus curiae;
(c) To disclose to Federal, State, local, territorial, Tribal, or foreign agencies for use in meeting their statutory or regulatory requirements;
(d) To disclose to contractors, grantees, volunteers, experts, students, and others performing or working on a contract, service, grant, cooperative agreement, or job for the Federal government when necessary to accomplish an agency function;
(e) To disclose to Congress upon its request, acting within the scope of its jurisdiction, pursuant to the Commodity Exchange Act, 7 U.S.C. 1 et seq., and the rules and regulations promulgated thereunder;
(f) To disclose to appropriate agencies, entities, and persons when (1) the Commission suspects or has confirmed that there has been a breach of the system of records; (2) the Commission has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the Commission (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the Commission’s efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; or
(g) To disclose to another Federal agency or Federal entity, when the Commission determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs, and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

POLICIES AND PRACTICES FOR STORAGE OF RECORDS:
The FOIA system of records stores records in this system electronically. The records are stored on the Commission’s secure network and secure back-up media.

POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:
Information covered by this system of records notice may be retrieved by assigned control number, name of requester, or by subject of request.

POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:
Records for this system will be maintained in accordance with General Records Schedule 4.2 of the National Archives and Records Administration. All approved schedules are available at http://www.archives.gov.

ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS:
Records are protected from unauthorized access and improper use through administrative, technical, and physical security measures. Administrative safeguards include written guidelines on handling FOIA information including agency-wide procedures for safeguarding personally identifiable information. In addition, all CFTC staff are required to take annual privacy and security training. Technical security measures within CFTC include restrictions on computer access to authorized individuals who have a legitimate need to know the information; required use of strong passwords that are frequently changed; multi-factor authentication for remote access and access to many CFTC network components; use of encryption for certain data types and transfers; firewalls and intrusion detection applications; and regular review of security procedures and best practices to enhance security. Physical safeguards include restrictions on building access to authorized individuals, 24-hour security guard service, and maintenance of records in lockable offices and filing cabinets.

RECORD ACCESS PROCEDURES:
Individuals seeking to determine whether this system of records contains information about themselves or seeking access to records about themselves in
this system of records should address
written inquiries to the Office of General
Counsel, Commodity Futures Trading
Commission, Three Lafayette Centre,
1155 21st Street NW, Washington, DC
20581. See 17 CFR 146.3 for full details
on what to include in a Privacy Act
access request.

CONTesting RECORD PROCedURES:

Individuals contesting the content of
records about themselves contained in
this system of records should address
written inquiries to the Office of General
Counsel, Commodity Futures Trading
Commission, Three Lafayette Centre,
1155 21st Street NW, Washington, DC
20581. See 17 CFR 146.8 for full details
on what to include in a Privacy Act
amendment request.

NOTIFICATION PROCEDURES:

Individuals seeking notification of
any records about themselves contained
in this system of records should address
written inquiries to the Office of General
Counsel, Commodity Futures Trading
Commission, Three Lafayette Centre,
1155 21st Street NW, Washington, DC
20581. See 17 CFR 146.9 for full details
on what to include in a Privacy Act
notification request.

EXCEPTIONS PROMULGATED FOR THE SYSTEM:

None.

HISTORY:

A previous version of this SORN was
published in the Federal Register on
February 02, 2011 at 76 FR 5973.


SYSTEM NAME AND NUMBER

Privacy Act Requests, CFTC–40.

SECURITY CLASSIFICATION:

Unclassified.

SYSTEM LOCATION:

This system is located at the
Commodity Futures Trading
Commission, Three Lafayette Centre,
1155 21st Street NW, Washington, DC
20581. Other offices involved in the
processing of requests may also
maintain copies of the requests and any
related internal administrative records.

SYSTEM MANAGER(S):

General Counsel, Commodity Futures
Trading Commission, Three Lafayette
Centre, 1155 21st Street NW,
Washington, DC 20581.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

The collection of this information is
authorized under the Privacy Act, 5

PURPOSE(S) OF THE SYSTEM:

The information in this system is
being collected to enable the CFTC to
carry out its responsibilities under the
Privacy Act. These responsibilities
include enabling CFTC staff to receive,
track, and respond to Privacy Act
requests.

CATEGORIES OF INDIVIDUALS COVERED BY THE
SYSTEM:

Individuals filing requests for access
to, correction of, or an accounting of
disclosures of personal information
contained in systems of records
maintained by the Commission,
pursuant to the Privacy Act of 1974. 5

CATEGORIES OF RECORDS IN THE SYSTEM:

Requests, responsive documents,
internal memoranda, response letters,
appeals of denial, appeal
determinations, and electronic tracking
data.

RECORD SOURCE CATEGORIES:

Individuals requesting information
from the Commission pursuant to the
Privacy Act and CFTC staff processing
the requests.

ROUTINE USES OF RECORDS MAINTAINED IN THE
SYSTEM, INCLUDING CATEGORIES OF USERS AND
THE PURPOSES OF SUCH USES:

These records and information in
these records may be used:

(a) To disclose information to the
National Archives and Records
Administration, Office of Government
Information Services (OGIS), to the
extent necessary to fulfill its
responsibilities in 5 U.S.C. 552(h), to
review administrative agency policies,
procedures, and compliance with the
Freedom of Information Act, and to
facilitate OGIS’ offering of mediation
services to resolve disputes between
persons making FOIA requests and
administrative agencies;
(b) To disclose in any administrative
proceeding before the Commission, in
any injunctive action authorized under
the Commodity Exchange Act, or in any
other action or proceeding in which the
Commission or its staff participates as
a party or the Commission participates
as amicus curiae;
(c) To disclose to Federal, State, local,
territorial, Tribal, or foreign agencies for
use in meeting their statutory or
regulatory requirements;
(d) To disclose to anyone during the
course of a Commission investigation if
Commission staff has reason to believe
that the person to whom it is disclosed
may have further information about
matters relevant to the subject of the
investigation;

(e) To disclose to contractors,
grantees, volunteers, experts, students,
and others performing or working on a
contract, service, grant, cooperative
agreement, or job for the Federal
government when necessary to
accomplish an agency function;

(f) To disclose to Congress upon its
request, acting within the scope of its
jurisdiction, pursuant to the Commodity
Exchange Act, 7 U.S.C. 1 et seq., and the
rules and regulations promulgated thereunder;

(g) To disclose to appropriate
agencies, entities, and persons when (1)
the Commission suspects or has
confirmed that there has been a breach
of the system of records; (2) the
Commission has determined that as a
result of the suspected or confirmed
breach there is a risk of harm to
individuals, the Commission (including
its information systems, programs, and
operations), the Federal Government,
or national security; and (3) the disclosure
made to such agencies, entities, and
persons is reasonably necessary to assist
in connection with the Commission’s
efforts to respond to the suspected or
confirmed breach or to prevent,
minimize, or remedy such harm; or

(h) To disclose to another Federal
agency or Federal entity, when the
Commission determines that
information from this system of records
is reasonably necessary to assist the
recipient agency or entity in (1)
responding to a suspected or confirmed
breach or (2) preventing, minimizing, or
remedying the risk of harm to
individuals, the recipient agency or
entity (including its information
systems, programs, and operations), the
Federal Government, or national
security, resulting from a suspected or
confirmed breach.

POLICIES AND PRACTICES FOR STORAGE OF
RECORDS:

The Privacy Act Requests system of
records stores records in this system
electronically. The records are stored on
the Commission’s secure network, and
on secure back-up media.

POLICIES AND PRACTICES FOR RETRIEVAL OF
RECORDS:

Information covered by this system of
records notice may be retrieved by
assigned control number, name of
requester, or by subject of request.

POLICIES AND PRACTICES FOR RETENTION AND
DISPOSAL OF RECORDS:

Records for this system will be
maintained in accordance with General
Records Schedule 4.2 of the National
Archives and Records Administration.
All approved schedules are available at
DEPARTMENT OF EDUCATION

[Docket ED–2018–FSA–0029]

Privacy Act of 1974; Matching Program

AGENCY: Department of Education.

ACTION: Notice of a New Matching Program.

SUMMARY: This provides notice of the re-establishment of the matching program between the U.S. Department of Education (Department) and the Social Security Administration (SSA). The purpose of the matching program is to assist the Department in facilitating the discharge of borrower's student loans. The matching program also will assist the Department in allowing recipients of Teacher Education Assistance for College and Higher Education (TEACH) Grants under title IV of the Higher Education Act of 1965, as amended, to more efficiently and effectively discharging their student loans.

DATES: Submit your comments on the proposed matching program on or before August 20, 2018.

The matching program will go into effect 30 days after the publication of this notice, on July 19, 2018, unless comments have been received from interested members of the public requiring modification and republication of the notice. The matching program will continue for 18 months after the effective date and may be extended for an additional 12 months, if the respective Data Integrity Boards (DIBs) of the Department and SSA determine that the conditions specified in 5 U.S.C. 552a(o)(2)(D) have been met.

ADDRESSES: Submit your comments through the Federal eRulemaking Portal or via postal mail, commercial delivery, or hand delivery. We will not accept comments submitted by fax or by email or those submitted after the comment period. To ensure that we do not receive duplicate copies, please submit your comments only once. In addition, please include the Docket ID at the top of your comments.

- Federal eRulemaking Portal: Go to www.regulations.gov to submit your comments electronically. Information on using Regulations.gov, including instructions for accessing agency documents, submitting comments, and viewing the docket, is available on the site under the “help” tab.
- Postal Mail, Commercial Delivery, or Hand Delivery: If you mail or deliver your comments about these proposed regulations, address them to Brenda Seidel, Management and Program Analyst, Federal Student Aid, U.S. Department of Education, 830 First Street NE, Washington, DC 20202–5320, Telephone: 202–377–3982.

Privacy Note: The Department’s policy is to make all comments received from members of the public available for public viewing in their entirety on the Federal eRulemaking Portal at www.regulations.gov. Therefore, commenters should be careful to include in their comments only information that they wish to make publicly available.


Authority For Conducting The Matching Program: The Department’s legal authority to enter into this matching program and to disclose information as part of this matching program is sections 420N(c), 437(a)(1), 455(a)(1), and 464(c)(1)(P)(ii and iii) of the HEA (20 U.S.C. 1070g–2(c)).

1087d(a)(1), 1087d(a)(1), and 1087d(c)(1)(ii and iii). The regulations promulgated pursuant to these sections (34 CFR 674.61(b),...