

Defense Privacy and
Civil Liberties Office

System of Records Notices (SORN) Handout

PACMan Training
September 2013

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System of Records Notice

The notice must fully describe the information you will be collecting, how you will use the information, how you safeguard it, your authorities, etc. The system notice becomes somewhat of a contract between the public and your Department of Defense (DoD) Component. It tells the public why you maintain the data, how you will use it, how long you will keep it, etc.

Once published, you must comply with the terms in the notice. As situations change, you may need to re-publish your notice to accommodate new purposes, new routine uses, etc.

SORN Formatting

Do not use any tabs, bolding, underscoring, or italicizations in the system of records notice.

Font should be `Courier New` size 12.

SORN Categories

18 Required Categories

1. System identifier
2. System name
3. System location
4. Categories of individuals covered by the system
5. Categories of records in the system
6. Authority for maintenance of the system
7. Purpose(s)
8. Routine uses
9. Storage
10. Retrievability
11. Safeguards
12. Retention and disposal
13. System manager(s) and address
14. Notification procedures
15. Records access procedures
16. Contesting record procedures
17. Record source categories
18. Exemption claimed for the system

Explanation of Each Category

1. System identifier

Identifier is assigned by the DoD Component, is limited to 21 positions, and must include the “alpha” character assigned to the DoD in the first position of the identifier

A	Army	L	DIA
B	NIMA	M	U.S. Marine Corps
C	IG, DoD	N	Navy
D	OSD	Q	NRO
E	DHA	R	DCAA
F	Air Force	S	DLA
G	NSA	T	DFAS
H	DTRA	V	DSS
I	NGB	W	USUHS
J	Joint Staff	Z	DeCA
K	DISA		

2. System name

Choosing the right system name is very important because it is the first indication to the public what the system of records is all about. The system name must indicate the general nature of the system of records and if possible, the general category of individuals to who it pertains.

The system name should not be overly long. DoD 5400.11-R recommends that the system name not be more than 55 characters.

Acronyms following the system name should be avoided.

DoD also places the last *Federal Register* publication date of the system of records notice after the system name. This citation is not part of the system name.

3. System location

Provide the complete mailing address of each location/site maintaining the system of records. Be sure to include the 9-digit zip code.

For geographically or organizationally decentralized system location, indicate that the official mailing addresses are published as an appendix to the Component’s Compilation of system of records notices. If no address directory is used, the complete mailing address of each location where a portion of the record system is maintained must appear in this caption or give the mailing address of who can provide a complete listing of locations.

Post Office boxes are not locations.

Do not use acronyms in addresses unless they are officially part of the U.S. Postal mailing address.

4. Categories of individuals covered by the system

Identify in clear, non-technical terms, the specific individuals on whom records in the system are being maintained. If your databases or files cover individuals in other Federal Agencies, include that fact.

Avoid using broad descriptions.

REMEMBER! For purposes of the Privacy Act, an individual is defined as a living person who is a citizen of the U.S. or an alien lawfully admitted for permanent residence. Corporations, partnerships, sole proprietorships, professional groups, businesses, whether incorporated or unincorporated, and other commercial entities are not “individuals.”

5. Categories of records in the system

Describe in clear, non-technical terms, the records maintained in the system. If your system of records notice covers a database, it is a good idea to get a print out of the data to see all the records being maintained.

Do not use overly broad terms or identify forms unless accompanied by a brief explanation.

REMEMBER! Give the public as much information as you can.

6. Authority for maintenance of the system

A Federal Law or Executive Order (E.O.) of the President must authorize the collection and maintenance of a system of records. Whenever possible, cite the specific provisions of the statute or E.O.

REMEMBER! When Components use their general statutory grants of authority statute (“internal housekeeping”) as the primary authority, the regulation/directive/instruction implementing the statute within the DoD Component should also be identified.

When collecting the Social Security Number (SSN), always place “E.O. 9397 (SSN), as amended” in your authority. This E.O. will never stand alone as an authority to collect and maintain information under the Privacy Act.

7. Purpose(s)

List the specific purpose(s) for establishing the system and the uses made of the information within the DoD Component and the DoD.

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This paragraph will form the basis for any internal uses you make of the data. By internal, we mean uses within your agency and DoD. Here you will explain (1) why you collect this information in the first place and (2) how the information is used in the course of DoD business.

Include all purposes and internal uses. Once the notice is published, you may only use the data for the purposes you described.

When a new purpose is required, the system of records notice will need to be amended or altered.

8. Routine uses

“Routine uses” is a difficult concept to get across to proponents of system of records.

The DoDM 5400.11 defines a routine use as:

The disclosure of a record outside the DoD for a use compatible with the purpose for which the information was collected and maintained by the DoD. The routine use must be included in the published SORN for the system of records involved.

Section (b) of the Privacy Act makes it clear that no agency shall disclose any record which is contained in a system of records by any means of communication to any person, or another agency, except pursuant to a written request by, or with the prior written consent of, the individual to whom the records pertains, *UNLESS* listed in the routine uses.

List all non-DoD Agencies and entities (including private sector entities) that will routinely be provided access to the data or will be given the data upon request. List the specific activity or element within the agency/entity to which the record may be disclosed. Here you will also include the purpose of providing access.

General statements such as “to other Federal Agencies as required” or “to any other appropriate Federal Agency” will not be accepted.

Routine uses should be written as:

To... (user) ... to ... (uses – what they do with the information) ... for the purposes of ... (objective).

EXAMPLE: To the Department of Veteran Affairs (DVA) to provide Uniformed Service personnel and pay data for present and former Uniformed Service personnel for the purpose of evaluating use of veterans’ benefits, validating benefit eligibility and maintaining the health and well-being of veterans and their family members.

When all of the DoD blanket routine uses apply, the following statement can be used:

In addition to those disclosures generally permitted in accordance with 5 U.S.C. 552a(b), these records contained herein may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows: The DoD blanket routine uses set forth at the beginning of the [enter component name] compilation of System of Records Notices apply to this system.

When only specific DoD blanket routine uses apply, the following statement can be used:

In addition to those disclosures generally permitted in accordance with 5 U.S.C. 552a(b), these records contained herein may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows: DoD blanket routine use #01 applies to this system.

Kept in mind the following rule: If your routine use clause shows “None”, and you get a request from another non-DoD entity for access to the records, you must refuse the request, no matter how valid the request or how important it is that you comply.

9. Storage

State the medium(s) used to store the information in the system (e.g., “automated, maintained in the computers and computer output products” or “manual, maintained in paper files” or “hybrid, maintained in paper files on electronic mediums”).

Storage does not refer to the container or facility in which the records are kept.

10. Retrievability

Indicate how records are retrieved from the system (e.g., “by name,” “by SSN,” or “by name and SSN”).

To be subject to the Privacy Act, records within a system of records must be retrieved by a personal identifier.

11. Safeguards

Identify the methods used to protect the records, such as safes, vaults, locked cabinets or rooms, guards, visitor registers, personnel screening, or computer “fail-safe” systems software. Do not describe safeguards in such detail as to compromise system security.

Start with describing the facility/building safeguards, then the room, then the computer/file cabinet. Then indicate the personnel getting access to the information.

EXAMPLE: Records are maintained in a controlled facility. Physical entry is restricted by the use of locks, guards, and is accessible only to authorized personnel. Access to records is limited to person(s) responsible for servicing the record in performance of their official duties and who are properly screened and cleared for need-to-know. Access to computerized data is restricted by passwords, which are changed periodically.

12. Retention and disposal

State the length of time records are maintained by the Component in an active status, when they are transferred to a Federal Records Center, how long they are kept at the Federal Records Center, and when they are transferred to the National Archives or destroyed. If records are

eventually to be destroyed, state the method of destruction (e.g., shredding, burning, pulping, etc.).

Do not cite the Component disposition schedule regulation.

If your Agency has sent for NARA approval of the disposition schedule, you can use the following until the Agency does get an approved disposition: Disposition pending (treat records as permanent until the National Archives and Records Administration has approved the retention and disposition schedule).

13. System manager(s) and address

Provide the title and complete mailing address of the official(s) responsible for managing the system of records. For geographically separated or organizationally decentralized activities list the position or title of each category mailing addresses.

14. Notification procedures

Describe how an individual can determine if a record in the system of records pertains to them. Provide the title and complete mailing address of the official to whom the request must be directed; the information the individual must provide in order for the Component to respond to the request; and a description of any proof of identity required.

Entry will read as follows: Individuals seeking to determine whether information about themselves are contained in this system of records should address written inquires to the ... Requests should contain individual's...

15. Records access procedures

Describe how an individual can review the record and/or obtain a copy of it. Provide the title and complete mailing of the official to whom the request for access must be directed; the information the individual must provide in order for the component to respond to the request; and a description of any proof of identity required.

Entry will read as follows: Individuals seeking to access to information about themselves are contained in this system of records should address written inquires to the ... Requests should contain individual's...

If personal visits can be made to access the record, indicate where, when, how, and if any identification is required.

16. Contesting record procedures

This entry should read the same for all Component notices. Ensure that it reads the same as published in previous notices.

17. Record source categories

Describe where the Component obtained the information (source documents and other agencies) maintained in the system.

Describe the record source in general terms.

18. Exemption claimed for the system

If no exemption has been established for the system, indicate “None”.

If any exemption rule has been established, state under which provision(s) of the Privacy Act it was established. Also state that an exemption rule has been promulgated in accordance with the requirements of 5 U.S.C. 553(b)(1), (2), and (3), (c) and (e).

Please use the following text for stating which exemptions apply:

When establishing a (j)(2) exemption:

Parts of this system may be exempt pursuant to 5 U.S.C. 552a(j)(2) if the information is compiled and maintained by a component of the agency which performs as its principle function any activity pertaining to the enforcement of criminal laws.

When establishing a (k)(1) exemption:

Information specifically authorized to be classified under E.O. 12958, as implemented by DoD 5200.1-R, may be exempt pursuant to 5 U.S.C. 552a(k)(1).

Each DoD Component should have established a `blanket' (k)(1) exemption within their respective procedural/exemption rule. (see DoD 5400.11-R, Chapter 5, paragraphs A.3.a. and b.)

When establishing a (k)(2) exemption:

Investigatory material compiled for law enforcement purposes, other than material within the scope of subsection 5 U.S.C. 552a(j)(2), may be exempt pursuant to 5 U.S.C. 552a(k)(2). However, if an individual is denied any right, privilege, or benefit for which he would otherwise be entitled by Federal law or for which he would otherwise be eligible, as a result of the maintenance of the information, the individual will be provided access to the information exempt to the extent that disclosure would reveal the identify of a confidential source.

NOTE: When claimed, this exemption allows limited protection of investigative reports maintained in a system of records used in personnel or administrative actions.

When establishing a (k)(3) exemption:

Records maintained in connection with providing protective services to the President and other individuals under 18 U.S.C. 3506, may be exempt pursuant to 5 U.S.C. 552a(k)(3).

When establishing a (k)(4) exemption:

Records maintained solely for statistical research or program evaluation purposes and which are not used to make decisions on the rights, benefits, or entitlement of an individual except for census records which may be disclosed under 13 U.S.C. 8, may be exempt pursuant to 5 U.S.C. 552a(k)(4).

When establishing a (k)(5) exemption:

Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for federal civilian employment, military service, federal contracts, or access to classified information may be exempt pursuant to 5 U.S.C. 552a(k)(5), but only to the extent that such material would reveal the identity of a confidential source.

When establishing a (k)(6) exemption

Testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service may be exempt pursuant to 5 U.S.C. 552a(k)(6), if the disclosure would compromise the objectivity or fairness of the test or examination process.

When establishing a (k)(7) exemption:

Evaluation material used to determine potential for promotion in the Military Services may be exempt pursuant to 5 U.S.C. 552a(k)(7), but only to the extent that the disclosure of such material would reveal the identity of a confidential source.

Narrative Statement Template

DEPARTMENT OF DEFENSE

[DoD Component]

Narrative Statement on a [**New/Altered**] System of Records
Under the Privacy Act of 1974

1. System identifier and name:
2. Responsible official:
3. Purpose of establishing the system (**New**):
Nature of proposed changes for the system (**Altered**):
4. Authority for the maintenance (maintained, collected, used, or disseminated) of the system:
5. Provide the agency's evaluation on the probable or potential affect on the privacy of individuals:
6. Is the system, in whole or in part, being maintained, (maintained, collected, used, or disseminated) by a contractor?
7. **Steps taken to minimize risk of unauthorized access:**
8. **Routine use compatibility:**
9. OMB public information collection requirements:
OMB collection required: Yes/No
OMB Control Number (if approved):
Title of collection if different than #10:
Date Approved or Submitted to OMB:
Expiration Date (if approved) or

Provide titles of any information collection requests (e.g., forms and number, surveys, interview scripts, etc.) contained in the system of records.
- If collecting on members of the public and no OMB approval is required, state the applicable exception(s):**
10. Name of IT system (state NONE if paper records only):

Explanation of Narrative Statement

1. System identifier and name

Provide system identifier and system name.

2. Responsible official

Name, address, and telephone number of individual who can best answer questions regarding this system of records.

3. (NEW) Purpose of establishing the system

This should read the same as the notice for the **new SORN**.

3. (Altered) Nature of proposed changes for the system

4. Authority for the maintenance (maintained, collected, used, or disseminated) of the system

This entry should read the same as in the notice.

5. Provide the agency's evaluation on the probable or potential affect on the privacy of individuals

OMB does not provide any guidance as to what they expect under this entry. However, DPCLO is looking for any know or perceived adverse effects on the individual by maintain this information.

Typically this entry reads "None".

6. Is the system, in whole or in part, being maintained, (maintained, collected, used, or disseminated) by a contractor?

This entry is either "Yes" or "No". If "Yes", please ensure that the contract has the necessary FAR clauses (subpart 24.1).

7. Steps taken to minimize risk of unauthorized access

Briefly describe the steps taken to minimize the risk of unauthorized access. Agency must have performed a risk assessment upon establishing a new system of records.

Last sentence will read: A risk assessment has been performed and will be made available on request.

Make sure that a risk assessment has been performed for all new systems of records.

DPCLO does not collect risk assessments.

8. Routine use compatibility

EXAMPLE of the standard blurb is below:

Any release of information contained in this system of records outside of the DoD will be compatible with purposes for which the information is collected and maintained. The DoD Blanket Routine Uses may apply to this system of records.

Of course, if the BRUs do not apply use the following:

Any release of information contained in this system of records outside of the DoD will be compatible with purposes for which the information is collected and maintained. The DoD Blanket Routine Uses do not apply to this system of records.

9. OMB information collection requirement

This is required when you are collecting information from the public to be maintained in this system of records. Contact your DoD Information Management Control Officer if you have any questions.

DoD INFORMATION MANAGEMENT CONTROL OFFICERS/SURVEY CONTACTS are now found on the DoD website:

http://www.dtic.mil/whs/directives/corres/intinfocollections/iic_home.html

10. Name of IT System

State "None" if paper records only.

Example of Addition (New SORN)

DoD Component
provides the SORN
ID and title.

DEPARTMENT OF DEFENSE

Department of the Army

Narrative Statement on a New System of Records

Under the Privacy Act of 1974

This is
required
wording.

1. System identifier and name: A0600-63 G3/5/7, **entitled**
"Soldier Fitness Tracker System."

2. Responsible official: Title, Name, HQDA, Information
Management Support Center, The Army Building, 2530 Crystal
Drive, Arlington, VA 22202-0400, (703) 123-4567.

Always start
this section
with this
statement.

3. Purpose of establishing the system: **The Department of the Army is proposing to establish a new system of records that will be used to** systematically collect, analyze, interpret, and report on a standardized, population based data for the purposes of self assessing, characterizing, and developing individualized profiles to guide individuals through structured self development training modules with the goal of improving mental and physical well-being, coping and strategies. The Comprehensive Soldier Fitness Program, which operates the Soldier Fitness Tracker System, routinely advises leadership of trends and anomalies in the Comprehensive Soldier Fitness Leader's Monthly Summary Report.

4. Authority for the maintenance of the system:
5 U.S.C. 301, Departmental Regulations; 10 U.S.C. 136, Under Secretary of Defense for Personnel and Readiness; 10 U.S.C. 3013, Secretary of the Army; DoD Directive 1404.10, Civilian Expeditionary Workforce; AR 600-63, The Army Health Program and E.O. 9397(SSN), as amended.

5. Probable or potential effects on the privacy of individuals:
None.

6. Is the system, in whole or in part, being maintained by a contractor? Yes

7. Steps taken to minimize risk of unauthorized access:
Electronically and optically stored records are maintained in 'fail-safe' system software with password-protected access. Records are accessible only to authorized persons with a need-to-know who are properly screened, cleared, and trained. The

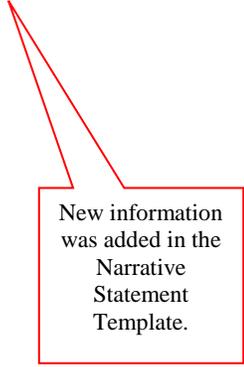
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system will maintain A role based access, Common Access Card access, and authentication through the Army Knowledge Online Portal through secure socket protocols.

8. Routine use compatibility: Any release of information contained in this system of records outside of the DOD will be compatible with purposes for which the information is collected and maintained. The DOD Blanket Routine Uses may apply to this system of records.

9. OMB information collection requirements: N/A

10. Supporting documentation: None.



New information
was added in the
Narrative
Statement
Template.

DPCLO

A0600-63 G3/5/7

System name:

Soldier Fitness Tracker System



This is how the
new SORN
will look
published.

System location:

HQDA, Information Management Support Center, The Army Building,
2530 Crystal Drive, Arlington, VA 22202-0400.

Categories of individuals covered by the system:

Current Army military personnel (Active Duty, Reserve, and National Guard), family members of Army service members, and Army civilian employees.

Categories of records in the system:

The Soldier Fitness Tracker System contains up-to-date and historical data related to family, emotional, spiritual, social, and physical fitness. It will include names, Social Security Numbers (SSN), dates of birth, gender, race, ethnic category, rank/grade, service, service component, occupation, education level, marital status, dependent quantities, home and unit location data including 5 digit zip codes, and various other information elements. In addition, the system will contain data on periodic and deployment health appraisal information and historical data on personnel and deployments. It includes medical encounter information including periodic health and wellness survey information, readiness status information, and longitudinal demographic and occupational information, assignment and deployment information, and results of aptitude tests. It also includes information related to enrollment and completion of programs to improve employee physical and mental functioning.

Authority for maintenance of the system:

5 U.S.C. 301, Departmental Regulations; 10 U.S.C. 136, Under Secretary of Defense for Personnel and Readiness; 10 U.S.C. 3013, Secretary of the Army; DoD Directive 1404.10, Civilian Expeditionary Workforce; AR 600-63, The Army Health Program and E.O. 9397(SSN), as amended.

Purpose(s):

The Soldier Fitness Tracker System supports a systematic collection, analysis, interpretation, and reporting of standardized, population based data for the purposes of self assessing, characterizing, and developing individualized profiles to guide individuals through structured self

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development training modules with the goal of improving mental and physical well-being, coping skills and strategies. The Comprehensive Soldier Fitness Program, which operates the Soldier Fitness Tracker System, routinely advises leadership of trends and anomalies in the Comprehensive Soldier Fitness Leader's Monthly Summary Report. Summarized unit level reports will be disseminated via the Leader's Decision Support Dashboard to military leaders.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act of 1974, these records contained therein may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows:

The DoD 'Blanket Routine Uses' set forth at the beginning of the Army's compilation of systems of records notices also apply to this system.

Note: This system of records contains Personal Identifiable Information. The DoD Health Information Privacy Regulation (DoD 6025.18-R) issued pursuant to the Health Insurance Portability and Accountability Act of 1996, applies to most such health information. DoD 6025.18-R may place additional procedural requirements on the uses and disclosures of such information beyond those found in the Privacy Act of 1974 or mentioned in this system of records notice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Electronic storage media.

Retrievability:

By individual Social Security Number (SSN), Service Number, and name.

Safeguards:

Electronically and optically stored records are maintained in 'fail-safe' system software with password-protected access. Records are accessible only to authorized persons with a need-to-know who are properly screened, cleared, and trained. The system will maintain a role based access, Common Access Card

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access, and authentication through the Army Knowledge Online Portal through secure socket protocols.

Retention and disposal:

Records are destroyed when no longer needed for reference and/or for conducting business. Records are destroyed by erasing.

System manager(s) and address:

Program Manager, Soldier Fitness Tracker System, HQDA, Army Main Building, 2530 Crystal Drive, Arlington, VA 22202-0400.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this system should address written inquiries to the HQDA, Director, Army Main Building, 2530 Crystal Drive, Arlington, VA 22202-0400.

For verification purposes, individual should provide their full name, Social Security Number (SSN), any details which may assist in locating records, and their signature. In addition, the requester must provide a notarized statement or an unsworn declaration made in accordance with 28 U.S.C. 1746, in the following format:

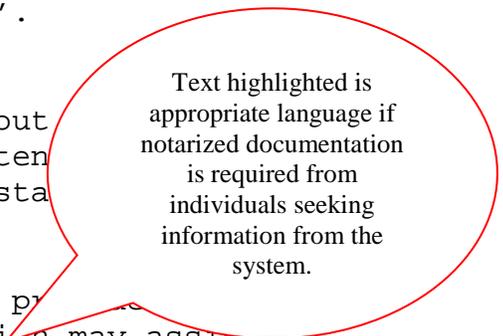
If executed outside the United States:

'I declare (or certify, verify, or state) under penalty of perjury under the laws of the United State of America that the foregoing is true and correct. Executed on (date). (Signature).'

If executed within the United States, its territories, possessions, or commonwealths: 'I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date). (Signature).'

Record access procedures:

Individuals seeking access to information about contained in this system should address written HQDA, Director, Army Main Building, 2530 Crysta Arlington, VA 22202-0400.



Text highlighted is appropriate language if notarized documentation is required from individuals seeking information from the system.

For verification purposes, individual should provide their full name, Social Security Number, any details which may assist in locating records, and their signature. In addition, the requester must provide a notarized statement or an unsworn declaration made in accordance with 28 U.S.C. 1746, in the following format:

If executed outside the United States:

'I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date). (Signature).'

If executed within the United States, its territories, possessions, or commonwealths: 'I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date). (Signature).'

Contesting record procedures:

The Army's rules for accessing records, and for contesting contents and appealing initial agency determinations are contained in Army Regulation 340-21; 32 CFR part 505; or may be obtained from the system manager. Denial to amend records in this system can be made only by the Deputy Chief of Staff for Personnel in coordination with the Director of Comprehensive Soldier Fitness.

Record source categories:

From personnel, healthcare, training, and financial information systems. From individuals by interview and health assessment surveys. From abstracts of medical records and results of tests.

Exemptions claimed for the system:

None.

**Documentation required with
new SORN**

1. Narrative Statement
2. Proposed new SORN

Criteria for an Altered SORN

Minor administrative changes to systems of records need not be reported. For example, a change in the designation of the system manager due to reorganization would not require a report, so long as an individual's ability to gain access to his or her records is not affected. Other examples include changing applicable safeguards as a result of a risk analysis or deleting a routine use when there is no longer a need for the disclosure.

The following changes are those for which a report is required:

Change:	Example:
a) A significant increase in the number, type, or category of individuals about whom records are maintained.	A system covering physicians that has been expanded to include other types of health care providers, e.g., nurses, technicians, etc., would require a report. Increases attributable to normal growth should not be reported.
b) A change that expands the types or categories of information maintained.	A benefit system which originally included only earned income information that has been expanded to include unearned income information.
c) A change that alters the purpose for which the information is used.	The system is now also used for statistical purposes.
d) A change to equipment configuration (either hardware or software) that creates substantially greater access to the records in the system of records.	Locating interactive terminals at regional offices for accessing a system formerly accessible only at the headquarters would require a report.
e) The addition of an exemption.	
f) The addition of a routine use pursuant to 5 U.S.C. 552a(b)(3).	

Example of Alteration

DoD Component provides the SORN ID and title.

DEPARTMENT OF DEFENSE
Office of the Secretary

This is required wording.

Declarative Statement on an Altered System of Records
Under the Privacy Act of 1974

1. System identifier and name: M05420-2, **entitled** "Marine Corps Aircrew Performance Qualification Records."

2. Responsible official: Title, Name, Headquarters, Marine Corps Aviation Support Branch (ASM), United States Marine Corps, 3000 Pentagon, Room XXXX, Washington, DC 20380-3000.

Tell us what is being altered in the notice.

3. **Nature of the changes proposed for the system:** The U.S. Marine Corps is proposing to alter the existing systems of records for Marine Corps aeronautically designated personnel by expanding the category of individuals, category of records and relating other categories.

This is required wording for alterations in this section.

4. Authority for maintenance of the system: 10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 5041, Headquarters, U.S. Marine Corps; OPNAVINST 3710.7T NATOPS, General Flight and Operating Instructions and E.O 9397(SSN), as amended.

5. Probable or potential effects on the privacy of individuals: None.

6. Is the system, in whole or in part, being maintained by a contractor? No.

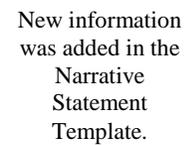
7. Steps taken to minimize risk of unauthorized access: Records are maintained in a controlled facility. Physical entry is restricted by the use of locks, guards, and is accessible by authorized personnel. Access to records is limited to person(s) responsible for servicing the record in the performance of their official duties and who are properly screened and cleared for need-to-know. System software uses Primary Key Infrastructure (PKI)/Common Access Card (CAC) authentication to lock out unauthorized access. System software contains authorization/permission partitioning to limit access to appropriate organization level.

8. Routine use compatibility: Any release of information contained in this system of records outside the DoD will be

compatible with purposes for which the information is collected and maintained. The DoD Blanket Routine Uses may apply to this system of records.

9. OMB information collection requirements: None.

10. Name of IT system: None.



New information
was added in the
Narrative
Statement
Template.

DPCLO

MAA00002

Include the current Federal Register citation where changes are being requested.

System name:

Marine Corps Aircrew Performance/Qualification Information (May 11, 1999, 64 FR 25299).

Changes:

* * * * *

Start with this wording and tell us what changes are being made to each category in the SORN.

Begin each change to a category with "Delete entry and replace with "..."
Use quotes around the language that will change.

Change System ID to read "M05420-2."

System Name:

Delete entry and replace with "Marine Corps Aircrew Performance Qualification Records."

System location:

Delete entry and replace with "The Commandant of the Marine Corps, Headquarters, United States Marine Corps, Aviation Department, Washington, DC 20380-1775."

Categories of individuals covered by the system:

Delete entry and replace with "Marine Corps aeronautically designated personnel (Naval Aviators, Naval Flight Officers and aircrew members)."

Categories of records in system:

Delete entry and replace with "Applicant's full name, Social Security Number (SSN), information on medical qualification, flight pay, Flight Status Selection Board (FSSB)/Field Flight Performance Board (FFPB) correspondence and personal/career information for applicants to various selection boards managed by Headquarters, Marine Corps Aviation Manpower (ASM)."

Authority for maintenance of the system:

Delete entry and replace with "10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 5041, Headquarters, U.S. Marine Corps; OPNAVINST 3710.7T NATOPS, General Flight and Operations Instructions and E.O 9397(SSN), as amended."

* * * * *

If there are no changes to a category use 5 asterisks with spaces in between them.

Delete entry and replace with "Routine records maintained in the system, including categories of users and the purpose of such uses:"

DPCLO

In addition to the disclosure generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, these records or information contained therein, may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows:

The DoD 'Blanket Routine Uses' published at the beginning of the Marine Corps' compilation of systems of records notices apply to this system."

Storage:

Delete entry and replace with "Paper records and/or electronic storage media."

Retrievability:

Delete entry and replace with "Alphabetically by last name."

Safeguards:

Delete entry and replace with "Physical entry is restricted by the use of locks, guards, and is accessible by authorized personnel. Access to records is limited to person(s) responsible for servicing the record in the performance of their official duties and who are properly screened and cleared for need-to-know. System software uses Primary Key Infrastructure (PKI)/Common Access Card (CAC) authentication to lock out unauthorized access. System software contains authorization/permission partitioning to limit access to appropriate organization level."

Retention and disposal:

Delete entry and replace with "Files are permanent. Five years after any decision or board action, file is retired to the Federal Records Center."

System manager(s) and address:

Delete entry and replace with "The Commandant of the Marine Corps, Headquarters, Marine Corps Aviation Support Branch (ASM), United States Marine Corps, 3000 Pentagon, Room XXXX, Washington, DC 20380-3000."

Notification procedures:

Delete entry and replace with "Individuals seeking access to information about themselves contained in this system should address written inquiries to Headquarters, Marine Corps Administrative Support Branch (AAB), 3000 Marine Corps Pentagon, Room XXXX, Washington, DC 20380-3000."

DPCLO

The request should contain the full name, Social Security Number (SSN) and signature."

Record access procedures:

Delete entry and replace with "Individuals seeking access to information about themselves contained in this system should address written inquiries to Headquarters, Marine Corps Administrative Support Branch (AAB), 3000 Marine Corps Pentagon, Room XXXX, Washington, DC 20380-3000.

The request should contain the full name, Social Security Number (SSN) and signature."

Contesting record procedures:

Delete entry and replace with "The USMC rules for contesting contents and appealing initial agency determinations are published in Secretary of the Navy Instruction 5211.5E; 32 CFR part 701; or may be obtained from the system manager, Headquarters Marine Corps Administrative Support Branch (AAB), 3000 Marine Corps Pentagon, Room XXXX, Washington, DC 20380-3000."

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DPCLO

Incorporate changes listed above into the notice as it will publish.

PACMan Training
September 2013

M05420-2

System name:

Marine Corps Aircrew Performance Qualification Records.

System location:

The Commandant of the Marine Corps Headquarters, United States Marine Corps, Aviation Department, Washington, DC 20380-1775.

NOTE: This is not done frequently

Categories of individuals covered by the system:

Marine Corps aeronautically designated personnel (Naval Aviators, Naval Flight Officers, and aircrew members).

Categories of records in the system:

Applicant's full name, Social Security Number (SSN); information on medical qualification, flight pay, FSSB/FPPB correspondence and personal/career information for applicants to various selection boards managed by Headquarters, Marine Corps Aviation Manpower (ASM).

Authority for maintenance of the system:

10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 5041, Headquarters, U.S. Marine Corps; OPNAVINST 3710.7T NATOPS, General Flight and Operating Instructions and E.O 9397(SSN), as amended.

Purpose(s):

To maintain records on Marine Corps aeronautically designated personnel for use by Officials and employees of the Marine Corps in the administration and management of such personnel.

Routine users of records maintained in the system, including categories of users and the purpose of such uses:

In addition to the disclosure generally permitted under 5 U.S.C. 552a(b) of the Privacy Act of 1974, these records therein, may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows:

The DoD 'Blanket Routine Uses' published at the beginning of the Marine Corps' compilation of systems of records notices apply to this system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

DPCLO

Storage:

Paper records and/or electronic storage media.

Retrievability:

Alphabetically by last name.

Safeguards:

Physical entry is restricted by the use of locks, guards, and is accessible by authorized personnel. Access to records is limited to person(s) responsible for servicing the record in the performance of their official duties and who are properly screened and cleared for need-to-know. System software uses Primary Key Infrastructure (PKI)/Common Access Card (CAC) authentication to lock out unauthorized access. System software contains authorization/permission partitioning to limit access to appropriate organization level.

Retention and disposal:

Files are permanent. Five years after any decision or board action, file is retired to the Federal Records Center.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, Marine Corps Aviation Support Branch (ASM), United States Marine Corps, 3000 Pentagon, Room XXXX, Washington, DC 20380-3000.

Notification procedure:

Individuals seeking access to information about themselves contained in this system should address written inquiries to Headquarters, Marine Corps Administrative Support Branch (AAB), 3000 Marine Corps Pentagon, Room XXXX, Washington, DC 20380-3000.

The request should contain the full name, Social Security Number (SSN) and signature.

Record access procedures:

Individuals seeking access to information about themselves contained in this system should address written inquiries to Headquarters, Marine Corps Administrative Support Branch (AAB), 3000 Marine Corps Pentagon, Room XXXXX, Washington, DC 20380-3000.

The request should contain the full name, Social Security Number (SSN) and signature.

DPCLO

Contesting record procedures:

The USMC rules for contesting contents and appealing initial agency determinations are published in Secretary of the Navy Instruction 5211.5E; 32 CFR part 701; or may be obtained from the system manager, Headquarters Marine Corps Administrative Support Branch (AAB), 3000 Marine Corps Pentagon, Room XXXX, Washington, DC 20380-3000.

Record source categories:

Information is obtained from Official reports, boards, inquiries and requests. Information is also obtained from the review of Naval Aviator/Naval Flight Officer Reporting Management System data.

Exemptions claimed for the system:

None.

**Documentation required with
SORN Alteration:**

1. Narrative Statement
2. Proposed Changes
3. Notice with proposed changes incorporated

Example of Amendment

Include the current Federal Register citation where changes are being requested.

F036 USAFA K

System Name:
Admissions Records (July 7, 2008, 73 FR 38409)

Changes:

Start with this word and tell us what changes are being made to each category in the SORN.

* * * * *

Retention and disposal:

Delete entry and replace with "Records on candidates who are not appointed are destroyed at the end of the admission cycle. Liaison Officers' records are destroyed upon separation or reassignment. Records are destroyed by tearing into pieces, shredding, pulping, macerating or burning. Computer records are destroyed by overwriting or degaussing.

Begin each change to a category with "Delete entry and replace with "...". Use quotes around the language that will change.

Records on candidates who are appointed at the end of the admissions cycle. Liaison Officers' records are destroyed upon separation or reassignment. Records are destroyed when no longer needed. Records are destroyed by tearing into pieces, shredding, pulping, macerating or burning. Computer records are destroyed by overwriting or degaussing."

System manager(s) and address:

Delete entry and replace with "Directorate of Admissions, Information Technology Branch (RROI), USAF Academy, CO 80840-5651."

Notification procedure:

Delete entry and replace with "Individuals seeking to determine whether this system of records contains information on themselves should address written inquiries to or visit the Directorate of Admissions, Information Technology Branch (RROI), USAF Academy, CO 80840-5651.

Written request should include full name, Social Security Number (SSN), and signed request.

Visiting persons must properly establish their identity to the satisfaction of the Director of Admissions."

Record access procedures:

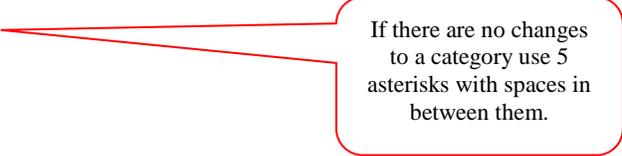
DPCLO

Delete entry and replace with "Individuals seeking access to records about themselves contained in this system should address written requests to or visit the Directorate of Admissions, Information Technology Branch (RROI) USAF Academy, CO 80840-5651.

Written request should include full name, Social Security Number (SSN), and signed request.

Visiting persons must properly establish their identity to the satisfaction of the Director of Admissions."

* * * * *



If there are no changes to a category use 5 asterisks with spaces in between them.

DPCLO

F036 USAFA K

Incorporate changes listed above into the notice as it will publish.

System name:
Admissions Records

System location:
United States Air Force Academy (USAF Academy), CO 80840-5000.

Categories of individuals covered by the system:
Air Force Academy applicants, nominees, appointees, cadets, and Air Force Reserve officers not on active duty.

Categories of records in the system:
Data used in the candidate selection process for the U.S. Air Force Academy: High school records; admissions test scores; candidate fitness scores; high school extracurricular activities; medical qualification status; personal data records; Liaison Officer evaluations; teacher evaluations; drug abuse certificates; letters of recommendation; address; phone number; Social Security Number(SSN); race; height; weight; citizenship; military parents; candidate writing sample; nomination; preparatory school or college record, if applicable; pre-candidate questionnaires; pertinent information on assigned Liaison Officers; general correspondence; selection data on new classes; medical qualification at entry; candidate high school class rank and class size.

Authority for maintenance of the system:
10 U.S.C. 8013, Secretary of the Air Force; 10 U.S.C. 9331, Establishment; Superintendent; faculty; and E.O. 9397 (SSN), as amended.

Purpose(s):
Used by Admissions Office, selection panels, Academy Board, Athletic Department and Preparatory School personnel for selection of cadets to attend the Preparatory School and the USAF Academy; to evaluate candidates for recommendation for civilian preparatory school scholarships, and to form the nucleus of the cadet record for candidates selected to attend the Academy.

Used by Admissions Office to prepare evaluations of candidate's potential for submission to members of Congress and to schedule for medical examinations. Used to monitor training of Liaison Officers.

DPCLO

Used to advise persons interested in the Academy of the name, address, and telephone number of their nearest Liaison Officer. To advise persons interested in the Academy of the name, address, and telephone number of their nearest Liaison Officer.

Used to evaluate selection procedures of USAF Academy cadets, to assure that criteria for entering cadets met and to procure various biographical information on incoming cadets for press releases.

Used by Air Force Reserve Officer Training Corps (AFROTC) for possible AFROTC scholarship participation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act of 1974, these records contained therein may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows:

Information may be disclosed to members of Congress in connection with nominations and appointments. Names, addresses, and telephone numbers of Liaison Officers may be disclosed to individuals interested in the Academy.

Biographical information on incoming cadets may be used for press releases.

The DoD 'Blanket Routine Uses' published at the beginning of the Air Force's compilation of systems of records notices apply to this system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper in file folders and electronic storage media.

Retrievability:

Retrieved by name and/or Social Security Number (SSN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties and by authorized personnel who are properly screened and cleared for

DPCLO

need-to-know. Records are stored in locked rooms and cabinets. Those in computer storage devices are protected by computer system software.

Retention and disposal:

Records on candidates who are not appointed are destroyed at the end of the admission cycle. Liaison Officers' records are destroyed upon separation or reassignment. Records are destroyed by tearing into pieces, shredding, pulping, macerating or burning. Computer records are destroyed by overwriting or degaussing.

Records on candidates who are appointed are destroyed after at the end of the admissions cycle. Liaison Officers' records are destroyed upon separation or reassignment. Preparatory school records are destroyed when no longer needed. Records are destroyed by tearing into pieces, shredding, pulping, macerating or burning. Computer records are destroyed by overwriting or degaussing.

System manager(s) and address:

Directorate of Admissions, Information Technology Branch (RROI),
USAF Academy, CO 80840-5651.

Notification procedure:

Individuals seeking to determine whether this system of records contains information on themselves should address written inquiries to or visit the Directorate of Admissions, Information Technology Branch (RROI), USAF Academy, CO 80840-5651.

Written request should include full name, Social Security Number (SSN), and signed request.

Visiting persons must properly establish their identity to the satisfaction of the Director of Admissions.

Record access procedures:

Individuals seeking access to records about themselves contained in this system should address written requests to or visit the Directorate of Admissions, Information Technology Branch (RROI) USAF Academy, CO 80840-5651.

Written request should include full name, Social Security Number (SSN), and signed request.

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Visiting persons must properly establish their identity to the satisfaction of the Director of Admissions.

Contesting record procedures:

The Air Force rules for accessing records, and for contesting contents and appealing initial agency determinations are published in Air Force Instruction 37-132; 32 CFR part 806b; or may be obtained from the system manager.

Record source categories:

Educational institutions; automated system interfaces; the individual; College Entrance Examination Board; American College Testing scores; DoD Medical examinations records; letters of recommendation, members of U.S. Congress and Senate, teachers evaluations, Liaison Officers Evaluations and personnel records.

Exemptions claimed for the system:

Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for federal civilian employment, military service, federal contracts, or access to classified information may be exempt pursuant to 5 U.S.C. 552a(k)(5), but only to the extent that such material would reveal the identity of a confidential source.

An exemption rule for this record system has been promulgated in accordance with 5 U.S.C. 553(b)(1), (2) and (3) and (e) and published in 32 CFR part 806b. For additional information, contact the system manager.

**Documentation required with
SORN Amendment:**

1. Proposed changes in SORN
2. Notice with proposed changes incorporated

DPCLO

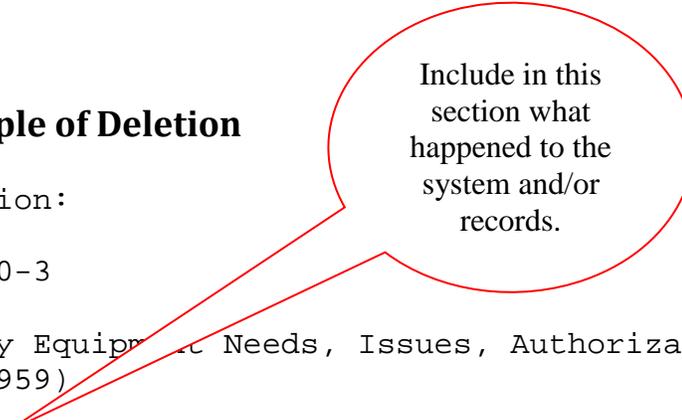
Example of Deletion

Deletion:

N05100-3

Safety Equipment Needs, Issues, Authorizations (May 9, 2003, 68 FR 24959)

Reason: Records are covered under NM05100-5, Enterprise Safety Applications Management Systems (ESAMS) (March 25, 2011, 76 FR 16739); therefore, N05100-3, Safety Equipment Needs, Issues, Authorizations can be deleted.



Include in this section what happened to the system and/or records.

Documentation required with SORN Deletion:

1. Reason why SORN is being deleted

Checklist

Do not use any tabs, bolding, underscoring, or italicization in the system of records notice submissions to the Defense Privacy and Civil Liberties Office.

Use this as a checklist to assist you in updating a new, altered, or amended SORN. This can also be used as a checklist to determine where to put the required asterisks as place holders in those sections that will remain the same on a request to alter or amended a notice.

System of Records Sections		Yes	No
<p>System identifier (<i>Ex: DHA 07. Assigned by the Component Privacy Office if this is a new SORN.</i>)</p> <p>Identifier is assigned by the DoD Component, is limited to 21 positions, and must include the `alpha` character assigned to the DoD Component in the first position of the identifier.</p>	<p>Has the appropriate system identifier been included in the SORN?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>System name: The system name should reflect the categories of individuals on whom information is maintained.</p>	<p>Does the current name adequately describe the system of records?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>System location: Provide the complete mailing address of each location/site maintaining the system of records. Be sure to include the 9-digit Zip code.</p> <p>For geographically or organizationally decentralized system locations, indicate that the official mailing addresses are published as an appendix to the Component's compilation of system of records notices. If no address directory is used, the complete mailing address of each location where a portion of the record system is maintained must appear in this caption or give the mailing address of who can provide a complete listing of locations.</p> <p>Post Office boxes are not locations. Do not use acronyms in addresses unless they are officially part of the U.S. Postal mailing address.</p>	<p>Are all locations and contractor sites, if applicable, identified in the notice?</p>	<input type="checkbox"/>	<input type="checkbox"/>

<p>Storage: This section should describe the media in which the records are stored, e.g., file folders, file cabinets, disks, magnetic tapes, etc.</p> <p>NOTE: Changes that alter the computer environment (such as, changes to equipment configuration, software, or procedures) to create the potential for greater or easier access; or the addition of an on-line capability to a previously batch-oriented system is an alteration.</p>	Does this section adequately describe how all records in the system are currently stored?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Retrievability: This section should state how individual records are retrieved from the system, e.g., by name or SSN or other personal identifier.</p>	Does this section correctly state how records are retrieved from the system?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Safeguards: This section should describe all measures currently in place to minimize the risk of unauthorized access to or disclosure of records in the system, reflecting the most recent risk analysis. It should also identify the categories of employees who are authorized to have access to the records.</p>	Does this section adequately describe all safeguards which are applicable to the records in the system, including the categories of employees who have access to the records?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Retention and disposal: State the length of time records are maintained by the Component in an active status, when they are transferred to a Federal Records Center, how long they are kept at the Federal Records Center, and when they are transferred to the National Archives or destroyed. If records will be destroyed, state the method of destruction (e.g., shredding, burning, pulping, etc.).</p> <p>Do not cite the Component disposition schedule regulation.</p> <p>If your Agency has sent for NARA approval of the disposition scheduled, use the following until the Agency receives an approved disposition: Disposition pending (treat records as permanent until the National Archives and Records Administration has approved the retention and disposition schedule).</p>	Does this section accurately state the retention period and means of disposal of records in the system?	<input type="checkbox"/>	<input type="checkbox"/>

<p>System manager(s) and address: This section should state the title and current address (include nine digit zip code) of the agency official who is responsible for the system's policies and practices. Do not provide an individual's name.</p>	Is the information for the system manager correct as currently indicated?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Notification procedure: Describe how an individual can determine if a record in the system of records pertains to them. Provide the title and complete mailing address of the official to whom the request must be directed; the information the individual must provide in order for the Component to respond to the request; and a description of any proof of identify required.</p> <p>Entry will read as follows: Individuals seeking to determine whether information about themselves is contained in this system of records should address written inquiries to the...</p> <p>Requests should contain individual's...</p>	Does this section provide complete instructions and the address is current?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Record access procedures: Describe how an individual can review and/or obtain a copy of the record. Provide the title and complete mailing address of the official to whom the request for access must be directed; the information the individual must provide in order for the Component to respond to the request; and a description of any proof of identity required.</p> <p>Entry will read as follows: Individuals seeking access to information about themselves contained in this system of records should address written inquiries to...</p> <p>Requests should contain individual's...</p> <p>If personal visits can be made to access the record, indicate where, when and how, and if any identification is required.</p>	Does this section provide complete instructions and the address is current?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Contesting record procedures: This entry should read the same for all your Component notices.</p>	Is this section current and up to date and include the Component's CFR?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Record source categories: Describe where the Component obtained the information (source documents and other agencies) maintained in the system. Describe the record sources in general terms.</p>	Does this section describe where the information is collected from?	<input type="checkbox"/>	<input type="checkbox"/>

<p>Exemptions claimed for the system: If no exemption has been established for the system, indicate "None".</p> <p>If any exemption rule has been established, state under which provision(s) of the Privacy Act it was established. Also state that an exemption rule has been promulgated in accordance with the requirements of 5 U.S.C. 553(b)(1), (2), and (3), (c) and (e).</p>	<p>If exemptions are being claimed for this system did your Office of General Counsel review and approve the exemptions?</p>	<input type="checkbox"/>	<input type="checkbox"/>
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