

Air Force Biennial System of Records Notice (SORN) Accuracy Review Checklist

If you are the Air Force official who is responsible for the operation and management of an Air Force Privacy Act system of recordsⁱ, specifically:

(Example: F011 AF AFMC A (Contractor Flight Operations))

This checklist will assist you in the biennial accuracy review of the Air Force System of Records Notice (SORN) and will ensure that all Air Force SORNs comply with the DoD Privacy Program (DoD Directive 5400.11 and DoD 5400.11-R) and Appendix I to OMB Circular A-130, entitled "Federal Agency Responsibilities for Maintaining Records about Individuals"

(<http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html>).

Once the checklist is completed and any updates and/or revisions to the SORN are identified, return both to the Air Force Privacy Act Office for further processing.

Please provide the following information about the System Managerⁱⁱ:

1. **System manager's name:** _____

2. **System manager's title:** _____

3. **System manager's telephone #** _____

4. **Person completing checklist
(if other than system manager):** _____

5. **Date review completed:** _____

6. **Overall comments:** _____

1. System identifier. The Air Force Privacy Act Office assigns the system identifier based on the Air Force Records Schedule.		
2. System name. The system name must reasonably identify the general purpose of the system and, if possible, the general category of individuals covered.		
	Yes	No
a. System name adequately describes the system of records.		
b. System name has been updated on the attached notice and/or below.		
c. Comments / Updates/ Clarifications:		
3. System location. List each location where the records reside using complete mailing addresses including the U.S. Postal Service two-letter State abbreviation and 9-digit zip code. P.O. boxes		

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<p>are not system locations.</p> <p>When Air Force contracts for the operation or maintenance of a Privacy Act system of records, the solicitation and resulting contract must contain the required FAR clauses.</p>		
	Yes	No
a. System location(s) is/are accurate as stated.		
b. Does a contractor collect, maintain, use or disseminate records on behalf of Air Force for this system of records?		
c. If 3.b. above is yes, do all contracts contain the required FAR clauses.		
d. Information has been updated on the attached notice and/or below.		
e. Comments / Updates / Clarifications:		

<p>4. Categories of individuals covered by the system. Identify the categories of individualsⁱⁱⁱ about whom records are maintained.</p> <p>Once the notice is published, you may only collect records on the individuals identified and no others. If you wish to add a new category of individuals covered, the SORN must first be altered and republished.</p> <p>If you are collecting information from 10 or more “members of the public^{iv}” during a calendar year your collection may require Office of Management and Budget (OMB) approval under the Paperwork Reduction Act (PRA). For more information on this requirement, contact Air Force’s Information Management Control Officer (IMCO), Ms. Denise Lett, A6XA, 703-697-4953 for more information.</p>		
	Yes	No
a. All categories of individuals covered are described.		
b. Do categories of individuals covered include “members of the public”? If 4.b. is yes, contact Ms. Lett, A6XA, regarding the applicability of the PRA and your information collection.		
c. Information has been updated on the attached notice and/or below.		
d. Comments / Updates / Clarifications:		

<p>5. Categories of records in the system. Identify all records^v being collected, maintained, used, and/or disseminated.</p> <p>The Privacy Act requires an agency “maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required by a Federal statute or an Executive Order.”</p> <p>Once the notice is published, you may only collect the records identified and no others. If you wish to add new records, the SORN must first be altered and republished.</p> <p>The collection of the Social Security Number (SSN) must be in accordance with DoD Instruction 1000.30, entitled “Reduction of Social Security Number (SSN) Use Within DoD.” Contact Mr. LaDonne White, A6XA, 571-256-2515, for more information on this requirement.</p>		
	Yes	No
a. Records are accurate as described.		
b. All records maintained are relevant and necessary to accomplish a purpose of Air Force required by a Federal statute or an Executive Order.		

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c. Are Social Security Numbers (SSNs) being maintained? If 5.b. is yes, contact Mr. LaDonne White for instructions to complete a SSN Justification Memo.		
d. Information has been updated on the attached notice and/or below.		
e. Comments / Updates / Clarifications:		
6. Authority for maintenance of the system. Cite the specific Federal statute or Executive Order (citation and descriptive title) authorizing the maintenance ^{vi} of the system of records. DOD/Air Force regulations may be listed as implementing documentation.		
	Yes	No
a. All authorities are accurate as listed.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		
7. Purpose(s). List the uses made of the records within Air Force / DoD. Once the notice is published, records may only be used for those purposes identified and no others. If you wish to add a new purpose, the SORN must first be altered and republished.		
	Yes	No
a. Purposes are accurate as listed.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		
8. Routine uses of records maintained in the system, including categories of users and the purposes of such uses. Identify each routine use. ^{vii} Write your routine uses as follows "To...[person or entity outside of DoD that will receive the information] for the purpose(s) of ...[what objective is sought to be achieved]." Keep in mind that the use must be compatible with why the records are being maintained. General statements, such as "to other Federal agencies as required" shall be avoided. DoD has adopted 16 "blanket routine uses" that apply to all DoD Component systems of records, unless otherwise stated in the notice. These "blanket routine uses" can be found at http://dpclo.defense.gov/privacy/SORNs/blanket_routine_uses.html . If these apply to your collection, last paragraph under this element will read "The DoD "Blanket Routine Uses" may also apply to this system of records." Once the notice is published, records may only be disclosed outside of DoD for the routine uses listed and no others. If a new routine use is required, the notice must first be altered and republished.		
	Yes	No
a. Each routine use is accurate as written.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		
9. Disclosure to consumer reporting agencies: Element is optional. Include it within your SORN if you will be releasing records to a consumer reporting agency for the purpose of collecting debts.		

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<p>Entry will read:</p> <p>"Disclosures pursuant to 5 U.S.C. 552a(b)(12) may be made from this system to `consumer reporting agencies' as defined in the Fair Credit Reporting Act (14 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1966 (31 U.S.C. 3701(a)(3)). The purpose of this disclosure is to aid in the collection of outstanding debts owed to the Federal government, typically to provide an incentive for debtors to repay delinquent Federal government debts by making these debts part of their credit records.</p> <p>The disclosure is limited to information necessary to establish the identity of the individual, including name, address, and taxpayer identification number (Social Security Number); the amount, status, and history of the claim; and the agency or program under which the claim arose for the sole purpose of allowing the consumer reporting agency to prepare a commercial credit report."</p>		
	Yes	No
a. Are records disclosed to a consumer reporting agency?		
<p>10. Policies and practices for storing, retiring, accessing, retaining, and disposing of records. This caption is subdivided into four parts:</p>		
<p>11. Storage. Describes the media in which records are stored, e.g, paper records, electronic records, or a hybrid (paper and electronic records).</p> <p>Personal information / Personally Identifiable Information ^{viii}(PII) maintained electronically may require the development of a Privacy Impact Assessment (PIA) in accordance with the E-Government Act and DoD Instruction 5400.16, DoD Privacy Impact Assessment Guidance.</p>		
	Yes	No
a. Storage is accurate as stated.		
b. Comments / Updates / Clarifications:		
<p>12. Retrievability. Identify the personal / unique identifier(s) used to retrieve records.</p>		
	Yes	No
a. Retrievability is correct as stated.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		
<p>13. Safeguards. Describe the <i>physical, administrative, and technical</i> safeguards in place to prevent the risk of unauthorized access to or unauthorized disclosure of records.</p>		
	Yes	No
a. The physical, administrative, and technical safeguards listed are accurate.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		
<p>14. Retention and disposal. Cite the approved National Archives and Records Administration (NARA) retention period for records being maintained. Retention must be part of the Air Force Records Schedule.</p> <p>Contact your local Records Manager for further assistance.</p>		

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	Yes	No
a. Retention and disposal is accurate as stated.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		
15. System manager(s) and address. List the title (no names and no phone numbers) and current mailing address of the Air Force official who is responsible for the operation and management (includes the policies and practices) of the system of records. Umbrella systems with multiple system managers must also list a policy-coordinating official.		
	Yes	No
a. System manager and address is correct as currently indicated.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		
17. Notification Procedure. Element describes how an individual may request notification that he/she is part of the system of records. The default wording is below: "Individuals seeking to determine whether this system of records contains information about them should address written inquiries to the organization responsible for the system: (Complete address of where inquiry can verify if a record exists) Inquiry should contain the record subject's full name, <i>[identify the data elements needed from the record subject to retrieve the information, and the information needed to respond to their request]</i> ." When records being maintained warrant, Air Force may ask the record subject to provide a notarized statement or an unsworn statement verifying their identity as follows: <div style="margin-left: 20px;"> ➤ If executed without 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).'</div> <div style="margin-left: 20px;"> ➤ 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).'</div>		
	Yes	No
a. Element provides complete instructions and the address is current.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		
18. Record access procedures. Element describes how an individual may request access to the records pertaining to him or her in the system of records. The default wording is below: "Individuals seeking to access information about themselves contained in this system of records should address written inquiries to: (Complete address of where Inquiry should contain the record subject's full name, <i>[identify the data elements needed from the record subject to retrieve the information, and the information needed to respond to their request]</i> ." When records being maintained warrant, Air Force may ask the record subject to provide a notarized statement or an unsworn statement verifying their identity as follows:		

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<p>➤ If executed without 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).'</p> <p>➤ 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).'</p>		
	Yes	No
a. Element provides complete instructions and the address is current.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		
<p>16. Contesting record procedures. For Air Force entry will read: "The Air Force rules for accessing records and for contesting contents and appealing initial agency determinations are published in Air Force Instruction 33-332, 32 CFR part 806b, or may be obtained from the system manager."</p> <p>Contesting records is limited to information which is incomplete, irrelevant, incorrect, or untimely (obsolete).</p>		
<p>17. Record source categories. Identify all sources of records, internal as well as external, e.g., from State and local government agencies, from the record subject, from third-party individuals, and from other Federal systems of records (identify the specific systems).</p>		
	Yes	No
a. Sources are correct as listed.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		
<p>18. Exemptions claimed for the system. Identify the specific Privacy Act exemptions and subsections from which records may be exempt, if applicable.</p>		
	Yes	No
a. Information is correct as stated.		
b. Information has been updated on the attached notice and/or below.		
c. Comments / Updates / Clarifications:		

- i **System of records** - A group of records (paper or electronic) under the control of the Air Force from which personal information about an individual is retrieved by the name of the individual, or by some other identifying number, symbol, or other identifying particular assigned, that is unique to the individual.
- ii **System manager** - The Air Force official responsible for the operation and management of a system of records.
- iii **Individual** - A living person who is a citizen of the United States or an alien lawfully admitted for permanent residence. The parent of a minor or the legal guardian of any individual may also act on behalf of an individual. Members of the U.S. Armed Forces are "individuals." Corporations,

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partnerships, sole proprietorships, professional groups, businesses, whether incorporated or unincorporated, and other commercial entities are not “individuals” when acting in an entrepreneurial capacity with the Department of Defense, but are “individuals” when acting in a personal capacity (e.g., security clearances, entitlement to DoD privileges or benefits, etc.).

iv

Members of the Public

- Members of the public are individuals, partnerships, associations, corporations (including operations of Government-owned, contractor-operated facilities), business trusts or legal representatives, organized groups of individuals, and State, territorial, tribal, or local governments, or components thereof.
- Current Federal employees and military personnel are considered members of the public if the collection of information is addressed to them in their capacity as private citizens. They are not considered members of the public if they are providing information regarding their duty status as Federal employees or to determine the effectiveness of Federal programs relating to military families and the need for new programs (10 USC 1782).
- Contractors providing information are considered members of the public.
- Foreign nationals are considered members of the public.
- If information is being collected from all or a substantial majority of an industry, approval under the PRA is still required. For example, there may only be three companies that produce the same product. If a Federal agency collects information from one of these companies, approval under the PRA is required.

v

Record - any item, collection, or grouping of information, whatever the storage media (e.g., paper, electronic), about an individual that is maintained by the Air Force, including, but not limited to, his or her education, financial transactions, medical history, criminal or employment history, and that contains his or her name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a fingerprint, a voice print, or a photograph.

vi

Maintain - To maintain, collect, use, or disseminate records contained in a system of records.

vii

Routine Use - The disclosure of a record outside DoD for a use that is compatible with the purpose for which the information was collected and maintained.

viii

Personal Information - Information about an individual that identifies, links, relates, or is unique to, or describes him or her, e.g., a social security number; age; military rank; civilian grade; marital status; race; salary; home/office phone numbers; other demographic, biometric, personnel, medical, and financial information, etc. Such information is also known as personally identifiable information (i.e., information which can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, and biometric records, including any other personal information which is linked or linkable to a specified individual).