

**Federal Register
SORN Templates
and Required
Format**

**System Notice
Format**

SYSTEM NOTICE FORMAT*

Do not use any tabs, bolding, underscoring, or italicization
in the system of records notice
Font must be Courier New size 12

System identifier (*Only the ID would appear in the notice*)

System name:

System location:

Categories of individuals covered by the system:

Categories of records in the system:

Authority for maintenance of the system:

Purpose(s):

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

Disclosure to consumer reporting agencies: (*Entry is optional*)

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

Storage:

Retrievability:

Safeguards:

Retention and disposal:

System manager(s) and address:

Notification procedure:

Record access procedures:

Contesting record procedures:

Record source categories:

Exemptions claimed for the system:

- *These elements come from the Federal Register Document Drafting Handbook*

The notice must fully describe the information you will be collecting, how you will use the information, how you will safeguard it, your authorities, etc. The system notice becomes somewhat of a contract between the public and your 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 users, etc.

Do not use any bolding, tabs, or underscoring in the notice sent to DPO.

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 Component in the first position of the identifier.

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

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. Therefore, the system name must indicate the general nature of the system of records, and if possible, the general category of individuals to whom 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 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 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.

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.

Not covered are 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 so that you can see all the records being maintained.

Do not use overly broad terms or identify forms unless accompanied by a brief explanation. Remember to give the public as much information as you can.

6. Authority for maintenance of the system:

A Federal law or Executive order of the President must authorize the collection and maintenance of a system of records. Whenever possible, cite the specific provisions of the statute or executive order.

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, always place 'E.O. 9397 (SSN)' 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 Department of Defense.

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 have described, but no others.

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

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

'Routine uses' is a difficult concept to get across to proponents of systems of records.

The Privacy Act defines a routine use, with respect to the disclosure of a record, as 'the use of such record for a purpose which is compatible with the purpose for which it was collected'.

The section (b) of the Privacy Act makes it very clear that no agency shall disclose any records which is contained in a system of records by any means of communication to any person, or to another agency, except pursuant to a written request by, or with the prior written consent of, the individual to whom the records pertain. UNLESS

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 shall be written as follows: "To ... (user) ... to ... (uses - what they do with the information) ... for the purposes of ... (objective)."

Each notice must state whether the DoD "Blanket Routine Uses" published at the beginning of each DoD Component's compilation of systems of records notices apply to the system of records. "None" under this category means there are no routine uses, not even the DoD "Blanket Routine Uses".

If information in this system will never, under any set of circumstances, be given to another non-DoD agency (including state, local and private sector), then list "None." Keep 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. Disclosure to consumer reporting agencies:

Entry is optional.

Entry will read: "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.

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."

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

11. Storage:

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

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

12. Retrievability:

Indicate how records are retrieved from the system (e.g., "by name," "by Social Security Number," or "by name and Social Security Number").

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

13. 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.

Safeguards:

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.

14. 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 scheduled, we 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).

15. System manager(s) and address:

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.

16. 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. 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. . . Requests should contain individual's. . ."

17. Record access procedures:

Describe how an individual can review the record and/or obtain a copy of it. 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. Entry will read as follows "Individuals seeking access to information about themselves contained in this system of records should address written inquiries to . . . Requests should contain individual's. . ."

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

18. Contesting record procedures:

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

19. 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.

20. Exemptions 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, use '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, use '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, use '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, use '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, use '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, use '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, use '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, use '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.'

