

# System of Records Notices

Defense Privacy and Civil  
Liberties Office

2014



## It's okay to ask why!



## Agenda

- ❖ Purpose
- ❖ Definitions
- ❖ Responsibilities
- ❖ Types of SORNs
- ❖ Guidelines
- ❖ Tips and Things to Consider
- ❖ Questions



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## Purpose



- ❖ What is a SORN?
- ❖ Why is a SORN required?
- ❖ What is the purpose of a SORN?



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## When is a SORN Required?

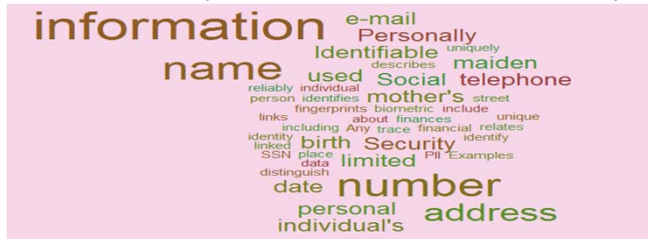
- ❖ Whenever information is collected, stored, AND **retrieved** by a unique personal identifier, e.g., name, fingerprint, etc.



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## Definitions

- ❖ Personally Identifiable Information
  - Any information which can be used to identify a person uniquely and reliably, including but not limited to name, date of birth, social security number, address, telephone number, e-mail address, mother's maiden name, etc.



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## Definitions

### ❖ Record

- Collection/grouping of information about an individual that's maintained by a DoD Component.

### ❖ System of Records

- Group of Records under the control of a DoD Component from which personal information about an individual is retrieved.



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## Definitions

### ❖ System of Records Notice (SORN)

- Informs the public (i.e. individuals) that an agency is maintaining a system of records.
- Published in the Federal Register for 30 days before collection may begin.



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## Government-Wide SORNs

- ❖ Some agencies have responsibility for one or more systems of records which are applicable Government-wide.

*Example: [EEOC/GOVT-1](#) Equal Employment Opportunity in the Federal Government Complaint and Appeal Records (July 30, 2002, 67 FR 49338)*

*Description: Records on applicants for Federal employment as well as current and former Federal employees who file complaints of discrimination or reprisal...*



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## DoD-Wide SORNs

- ❖ DoD-wide. This negates the need for a DoD Component to publish a duplicate system notice if it maintains a record under a DoD-wide SORN.

Examples:

IDENTIFIER	NOTICES	EXEMPTIONS
DHA 04 DoD	Defense Bone Marrow Donor Program (February 10, 2009, 74 FR 6584)	
DHA 14	Computer/Electronic Accommodations Program, (August 11, 2011, 76 FR 49753)	
DHA 16 DoD	Special Needs Program Management Information System (SNPMIS) Records (March 7, 2007, 72 FR 10181)	

Web Site: [http://dpclo.defense.gov/privacy/SORNs/dod/DOD\\_Wide\\_Notices.html](http://dpclo.defense.gov/privacy/SORNs/dod/DOD_Wide_Notices.html)



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## Component-specific SORNs

Defense Intelligence Agency

IDENTIFIER	NOTICES	EXEMPTIONS
LDIA 0010	Requests for Freedom of Information Act, Privacy Act, and Mandatory Declassification Review Information (July 19, 2006, 71 FR 41003)	
LDIA 0011	Student Information Files (May 11, 2010, 75 FR 26201)	
LDIA 0271	Investigations and Complaints (June 2, 2010, 75 FR 30791)	(k)(1), (k)(2), (k)(5), (k)(7)
LDIA 0435	DIA Military Awards Files. (March 18, 2010, 75 FR 13089)	

## COCOM-specific SORNs

Unified Commands (COCOMS)

IDENTIFIER	NOTICES	EXEMPTIONS
<a href="#">FCENTCOM 01</a>	Combined Mild Traumatic Brain Injury Registry (January 26, 2012, 77 FR 4025)	
<a href="#">FCENTCOM 04</a>	Total Records Information Management System (TRIM) (March 19, 2012, 77 FR 16019)	(k)(1) - (k)(7)
<a href="#">FSTRATCOM 01</a>	Command Data Records (January 19, 2012, 77 FR 2710)	
<a href="#">FSTRATCOM 02</a>	Joint Satellite Communications (SATCOM) Management Enterprise (JSME) (June 20, 2012, 77 FR 37006)	

Web Site: <http://dpcllo.defense.gov/privacy/SORNs/component/coc/index.html>

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## DoD Blanket Routine Uses

- ❖ DoD has **16** blanket Routine Uses that may automatically apply to DoD SORNs. Information may be disclosed by a DoD Component to law enforcement, Federal, state, or local agencies, even the Office of Management and Budget, for only those purposes listed under these blanket Routine Uses.



Web site:

[http://dpclo.defense.gov/privacy/SORNs/blanket\\_routine\\_uses.html](http://dpclo.defense.gov/privacy/SORNs/blanket_routine_uses.html)

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## DoD Blanket Routine Uses (2 of 2)

### Disclosures to the Bureau of the Census

Records in DoD systems of records may be disclosed without the consent of the individuals to whom they pertain to the Bureau of the Census for purposes of planning or carrying out a census survey or related activities pursuant to the provisions of section 6 of 13 U.S.C.

Web site:

[http://dpclo.defense.gov/privacy/SORNs/blanket\\_routine\\_uses.html](http://dpclo.defense.gov/privacy/SORNs/blanket_routine_uses.html)

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## Responsibilities (1 of 2)

### ❖ DoD Component Privacy Offices

- Execute the DoD Privacy Program
- Work in collaboration with system managers
- Ensure that:
  - Privacy Act records are properly described
  - Undeclared systems of records are identified
  - Privacy Act Statements/ Privacy Act Advisories are provided
  - Biennial SORN reviews and updates are completed



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## Responsibilities (2 of 2)

- Ensure that:
  - New SORNs and updates are submitted to the DPCLO.
  - Appropriate procedures and safeguards are implemented.
  - All personnel with access to each system are aware of their responsibilities under the Privacy Act.



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## Types of SORNs

### ❖ Addition

- New system of records

### ❖ Alteration

- Significant changes to an existing system of records



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### ❖ Amendment

- Minor/administrative changes to a system of records

### ❖ Deletion

- Decommissioned system
- Systems covered under another notice



## 18 Required SORN 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. Record access procedures
16. Contesting record procedures
17. Record source categories
18. Exemptions claimed for the system

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## SORN Categories

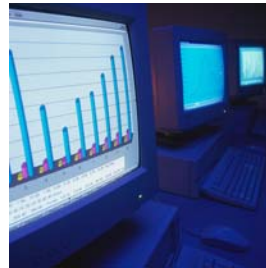
### Example

**A0600-63 G3/5/7**

- ❖ The letter "A" indicates "Army"  
the number "0600-63 G3/5/7"  
represents the publication series  
number related to the subject  
matter of the SORN.

### 1. System identifier

- The Component  
Privacy Office assigns  
the notice number.



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## SORN Categories

### 2. System name

- Identify the system's general purpose. This field is  
limited to 55 characters.

- ❖ **NOTE:** *Spell out acronyms upon initial use*  
*e.g. Social Security Number (SSN)*



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## SORN Categories

### Example

Office of the Secretary of Defense  
Director of Readiness,  
Programming and Assessment  
4000 Defense Pentagon  
Washington, DC 20301-4000



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### 3. System location

- Use complete mailing address.
- Spell out office names.
- 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."
- Do not use office symbols or PO boxes.



## SORN Categories

### 4. Categories of individuals covered by the system

- ❖ Identify in clear, non-technical terms.
- ❖ Avoid using broad descriptions like "all DoD personnel" unless that is truly accurate.

*Example: DoD civilian employees; contractors; Active Duty services personnel; and civilian employees from other federal agencies.*

- ❖ Do NOT use "may include..." or "but not limited to..."



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## SORN Categories

### 5. Categories of records in the system

- ❖ Describe in clear plain language, all categories of records in the system.
  - Provide the public with detailed information about the PII contained in the SORN.
  - Do not put the form name or # unless accompanied by the PII being collected on the form.
  - Do not use "may include..." or "but not limited to..."; these are too broad.

*Example: Name, SSN, date of birth, and gender.*



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## SORN Categories

### 6. Authority for maintenance of the system

- ❖ Cite the authorizing DoD directive/instruction or Departmental Regulation(s).
- ❖ A Federal law or Executive Order must authorize the collection and maintenance of a SOR.
- ❖ Always include titles with citations.
- ❖ When a system collects SSNs:
  - cite E. O. 9397 (SSN), as amended.
  - However, this can no longer be the sole authority for collecting SSNs.



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## SORN Categories

### 7. Purpose(s)

List the specific purposes for establishing and maintaining the system of records by your activity.



*Example:*

"This system provides a front-end invoice input capability to the One Pay entitlement system for Navy Bill of Lading payments. . . .This system also serves as a transportation management information system for Navy transportation bills."

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## SORN Categories

### 8. Routine Use(s)

- ❖ List all non-DoD agencies and entities that will routinely provide access to the data.
- ❖ List the specific activity to which the record may be disclosed.

*Example:*

*"To the Veterans Administration" or "To State and local health agencies".*

- ❖ For each routine use identified, include a statement regarding the purpose(s) for which the record is to be released.

*Example:*

*To the Department of Veterans Affairs for the purpose of using the information in benefit determinations.*

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## SORN Categories

### 9. Storage

State the medium in which the records are maintained.



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### Example

*"Maintained in paper files and on electronic storage media"*



## SORN Categories

### Example

*"Name and Social Security Number (SSN)"*



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### 10. Retrieval

- ❖ State how the agency retrieves the records.
- ❖ Any PII listed in this section must be included in the categories of records



## SORN Categories

### 11. Safeguards

- ❖ Identify the administrative, technical and physical system safeguards.
- ❖ Describe safeguards fully without compromising system security.



### Example

"Records are maintained in a controlled area. The computer system is accessible only to authorized personnel. Physical entry is restricted by the use of locks, passwords which are changed periodically, and administrative procedures. The system provides two-factor authentication including Common Access Card and password. . ."

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## SORN Categories (1 of 2)

### 12. Retention and Disposal

- ❖ Use National Archives and Records Administration (NARA) approved disposition

<http://www.archives.gov/>



National Archives and  
Records Administration

- State destruction method (e.g., shredding, burning, etc.)
- The destruction method should render the records unrecognizable.

**NOTE:** We realize not all agencies state how records are destroyed in their approved NARA disposition.

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## SORN Categories (2 of 2)

### 12. Retention and Disposal

- ❖ If your agency sent a proposed records schedule to NARA for approval, the following can be used 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.”

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## SORN Categories

### 13. System manager(s) and address

- ❖ List the position title and duty address of the system manager.
- ❖ Do not include names or phone numbers.

*Example:*

*Policy Official, Commander, Military Service Base, 1234 Virginia Ave, Virginia Beach, VA 23667-1234*



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## SORN Categories

### 14. Notification procedures

**Boilerplate language:**

*Individuals seeking to determine whether this system of records contains information about themselves should address written inquiries to the Director, Office of Personnel, 1234 Virginia Ave, Virginia Beach, VA XXXXX-XXXX.*



*Written requests must include full name, military status, Social Security Number (SSN), and date of birth.*

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## SORN Categories

### 15. Records access procedures

**Boilerplate Language:**

*Individuals seeking access to information about themselves contained in this system should address written inquiries to the Freedom of Information Act Office, Defense Component Agency, XXX MacDill Lane, Washington DC XXXXX-XXXX.*

*Written request must include full name, military status, Social Security Number (SSN), and date of birth.*

- ❖ **NOTE:** Make sure there is no exemption that would preclude you from providing information to the individual.



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## SORN Categories

### 16. Contesting records procedures

#### Boilerplate Language:

*The DoD Component Name rules for accessing records, and for contesting contents and appealing initial agency determinations are contained in DoD Component Regulation; XX CFR part 222; or may be obtained from the system manager.*



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## SORN Categories

### 17. Record source categories

- ❖ Show categories of individuals or other information sources for the system.
- ❖ Describe where the information maintained in the system is obtained from (source documents and other agencies).
- ❖ Describe the record sources in general terms, e.g., "From individuals, DoD records, and law enforcement agencies."

**Note:** If your source pertains to the medical field, you may require a HIPAA privacy statement.

**SOURCES**

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## SORN Categories

### 18. Exemptions claimed for the system

#### ❖ Privacy Act of 1974, Exemptions

- Access (section 552a(d)(5) of U.S.C.)
- General (section 552a(j))
- Specific exemptions (section 552(k))
- Nothing in the Privacy Act permits exemption of any system from all provisions of the Act.
- If no exemption has been established for the system, indicate "None."



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## System of Records Notices



and Things to Consider

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## Tips and Things to Consider

- ❖ Remember the audience
  - Write in a manner the general public understands.
  - It's okay to ask ourselves "why".
- ❖ Correct simple errors
  - Spell check
  - Check format



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## Tips and Things to Consider



- ❖ What authority allows collection of PII?
- ❖ Is each category of records in your collection essential?
- ❖ Is there a requirement to collect PII from any other data source?
- ❖ How is PII collected in this system?
- ❖ Are any routine uses required?

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## Tips and Things to Consider

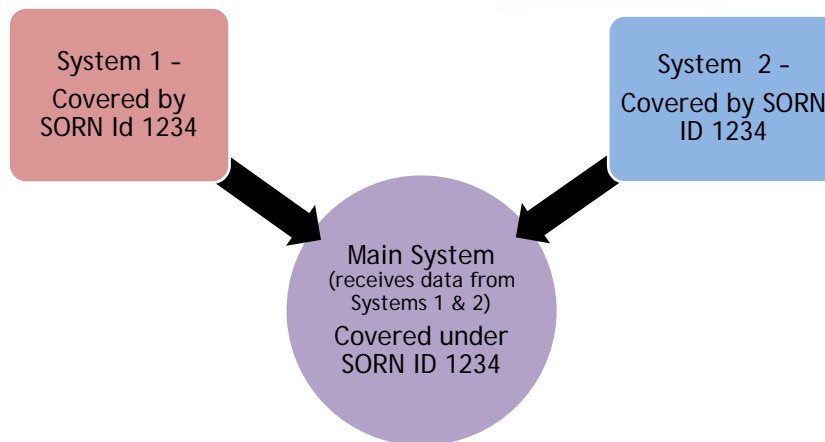
❖ Do you have a system that's already covered by:

- Government-Wide SORN?
- DoD-Wide SORN?
- Component SORN?



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## How Does Your Information Flow?



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## Deletions

### ❖ Before you delete a SORN

- Make sure there are no other systems covered by the system being deleted;
- Retention and disposal in systems being deleted still apply;



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## Deletions

### ❖ Before you delete a SORN continued:

- If the deletion is covered by another system provide that SORN identifier, name and Federal Register citation; and
- Check Privacy Impact Assessments if applicable.



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## Narrative Statement

Complete all sections on the narrative statement for a new or an alteration to an existing SORN.

- ❖ #3: Purpose of establishing the system: Start your statement with this if you are submitting a **NEW** SORN.
  - Example: "The Department of the Army proposes to establish a new system for the purpose of...";
- ❖ In the SORN it should be written:
  - **Purposes(s)**:  
Example: "The purpose of the system is to ..."

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## Narrative Statement

Complete all sections on the narrative statement for a new or an alteration to an existing SORN.

- ❖ #3: Nature of proposed changes for the system: Start your statement with this if you are submitting a **Alteration** to a SORN.
- ❖ In the change section of the SORN it should be written for each category you are updating with:  
  
Example:  
System location:  
**Delete entry and replace with "Text, Text."**

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## Narrative Statement

Complete all sections on the narrative statement for a new or an alteration to an existing SORN.

- ❖ #4: Authority for the maintenance of the system should have the same information as in the SORN;
- ❖ #7: Steps taken to minimize risk of unauthorized access: should have the same information as the **Safeguard** category;



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## Narrative Statement

Complete all sections on the narrative statement for a new or an alteration to an existing SORN.

- ❖ #8: Routine use compatibility:  
If there are blanket routine uses still applicable in the SORN (new or altered) they must be included in this section of the SORN.



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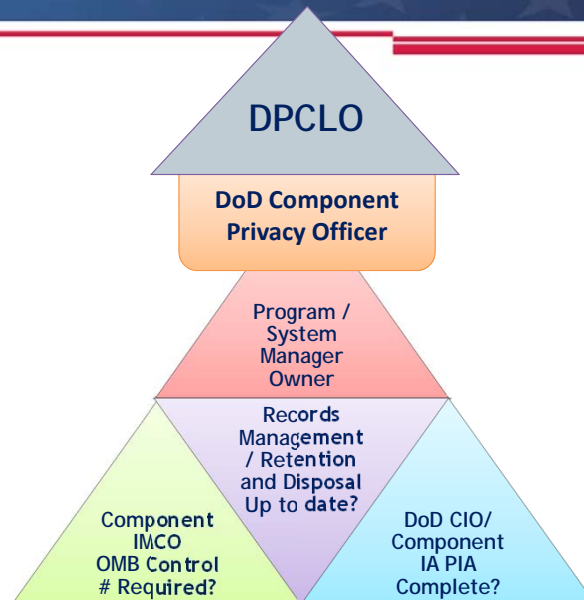
## Narrative Statement

- ❖ Complete all sections on the narrative statement if submitting a request for a new SORN or an alteration to an existing SORN.
- ❖ Verify with your Information Management Control Officer (IMCO) and coordinate with your Component Privacy Officer on requirements for OMB approval.
- ❖ Information can be found on the DoD Internal Information Collections website:  
[http://www.dtic.mil/whs/directives/corres/intinfocollections/iic\\_home.html](http://www.dtic.mil/whs/directives/corres/intinfocollections/iic_home.html)
- ❖ DoD Clearance Officer - Patricia Toppings
  - [Patricia.Toppings@whs.mil](mailto:Patricia.Toppings@whs.mil)
- ❖ Refer to DoD 8910.1-M, DoD Procedures for Management of Information Requirements, Chapter 3

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## System of Records Coordination



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## System of Records Notices

### Requirements for New and Altered SORNs



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Submit to Component Privacy Officer (CPO) for New SORN:

- ❖ Narrative Statement
- ❖ Proposed SORN

Alteration to existing SORN:

- ❖ Narrative Statement
- ❖ SORN with Changes requested
- ❖ SORN as it will print in the Federal Register

Work with Component Privacy Officer to coordinate and update the following:

- ❖ OMB approval on SORNs
- ❖ Privacy Impact Assessment (PIA)
- ❖ Records management



## Privacy Resources

- ❖ Privacy Act of 1974
- ❖ DoDD 5400.11, Directive
- ❖ DoD 5400.11-R, DoD Privacy Program
- ❖ OMB Circular No. A-130 Revised, Management of Federal Information Resources
- ❖ Appendix I to OMB Circular No. A-130, Federal Agency Responsibilities for Maintaining Records About Individuals
- ❖ Section 208- E-Gov Act

<http://dpclo.defense.gov/>

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# Questions?



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