

SORN REFERENCE



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INTRODUCTION

The Department of Defense (DoD) is committed to ensuring that its systems of records are compliant with the Privacy Act of 1974, as amended, and applicable Office of Management and Budget (OMB) guidance. This reference contains information to help DoD Component privacy offices prepare Privacy Act system of records notices (SORNs), complete narrative statements for OMB, and prepare preambles that are submitted with notices to the Federal Register (FR). The material in this guide reflects DPCLTD's interpretation of OMB Circular A-108, *Federal Agency Responsibilities for Review, Reporting, and Publication Under the Privacy Act* (December 23, 2016, 81 FR 94424), as informed by its experience working directly with OMB, but this document does not establish policy.

OMB Circular A-108 (December 23, 2016) describes agency responsibilities for implementing the review, reporting, and publication requirements of the Privacy Act. The 2016 circular includes several changes to the SORN format and content to improve public notification about how information in a system of records will be collected, used, and safeguarded. While this reference should help DoD Components comply with OMB Circular A-108, DoD Component privacy offices are encouraged to refer to DoD Privacy Program policies,¹ and OMB Circular A-108 for additional guidance. DoD privacy policies and Federal privacy law and guidance can be found in the Authorities and Guidance section on DPCLTD's website at <http://dpcltd.defense.gov/Privacy/Authorities-and-Guidance/>.

DoD Components are encouraged to take a holistic view of privacy when developing privacy compliance documents. Before submitting a SORN to the DPCLTD for review, DoD Component privacy offices should collaborate with appropriate component offices and respective subject matter experts to ensure compliance with other Federal laws, guidance, and DoD policies, including those applicable to the compliance programs mentioned in the next sections.

DoD Components should ensure all applicable compliance documentation is current and should be prepared to provide any requested documentation with each of the above when submitting a SORN package. In many instances, DPCLTD cannot accomplish its review until this information is provided when required.

DoD Components should also be aware that OMB Circular A-108 now requires 30 days advance notice to OMB and Congress and an approval from OMB prior to submitting a SORN action to the Office of the Federal Register (OFR). Notices published in the FR are effective immediately, unless there are new or modified routine uses, which are not effective until the statutory 30-day public comment period has closed and any substantive public comment addressed. SORNs are living documents, and should be reviewed continuously. SORNs will need to be updated and re-published to reflect changes to the SORN elements in accordance with OMB Circular A-108 when SORNs are next substantively modified.

¹ The DoD Privacy Program is currently administered through the following DoD Issuances: DoD Directive 5400.11, "DoD Privacy Program," October 29, 2014; DoD Regulation 5400.11, "Department of Defense Privacy Program," May 14, 2007.

The role of the Components is to ensure compliance with the Privacy Act and OMB requirements established in OMB Circular A-108 and other documents (such as Federal Register publication requirements). DPCLTD recognizes that DoD Component Privacy Officers and personnel along with program managers, systems managers, records managers, and information management control officers (IMCOs) are in a far better-placed position to understand the nuances of a component-specific system of records. Components should submit SORN packages that are compliant with the Privacy Act, OMB Circular A-108, and other associated requirements e.g., if the Paperwork Reduction Act applies and the OMB license is current; if the use of SSNs is documented and approved; and if the SORN reflects a records retention approved by the Archivist of the United States. The role of DPCLTD is to conduct a final review of SORN packages to ensure that they are ready to be submitted to OMB and the OFR.

This document should be used alongside OMB Circular A-108.

Considerations in a SORN Review

TYPES OF SORN ACTION REQUESTS

There are three (3) types of SORN Action Requests that can be submitted to the DPCLTD for review:

- New: The creation of new system of records.
- Modification: Significant change that alters the content of a system of records (e.g. changes to: categories of individuals about who records are maintained, types of records, purpose, authority, etc.) or changes how the public will interact with the system. Refer to A-108, section 6.b.
- Rescindment: A system of records is no longer being maintained and the SORN is invalidated.

These submissions may require additional documents in addition to the text of the SORN itself and significant changes. Be sure to verify if these additional documents may be required before submitting the SORN to the DPCLTD.

The SORN documents include:

- Narrative Statement (discussed below)
 - **ONLY** required for New and Modified SORN
 - The summary of the significant changes being made to a modified SORN;
- In the case of a Modified SORN, a version with track changes showing the difference from the currently published SORN;
- Preamble (discussed on page 35)
- For systems of records which require compliance with other requirements, be prepared to submit documentation ensuring compliance with the following:

Papework Reduction Act (PRA):

- If the categories of individuals covered by the system of records include contractors or members of the public (as determined by OMB) you should consult with your Component's Information Management Control Officer (IMCO) to ensure the SORN has been reviewed for PRA requirements before it is submitted to the DPCLTD. Confirmation may be requested so be prepared to provide an email or other coordination documents from the Component IMCO. NOTE: SORNs should only be submitted to DPCLTD when no PRA applies, the 30-day PRA notice has been published in the Federal Register, or a currently approved PRA license exists.

Reference: DoDI 8910.01, Information Collection and Reporting; DoDM 8910.01, Vol 2, DoD Information Collections Manual: Procedures for Public Information Collections for OMB approvals on collections that meet this criteria.

- Entry 6 on the Narrative Statement must be completed for a new or modified SORN.

Records Management

- Ensure the records retention and disposition in the SORN covers the lifecycle of the records maintained in the system, consistent with the approved records schedule.
- If it is a new SORN, provide the Standard Form (SF) 115 if the records disposition schedule is pending approval.
- If it is an existing SORN, confirmation of the retention and disposition schedule may be requested.

Reference: DoDI 5015.02, DoD Records Management Program

Privacy Impact Assessment (PIA)

- If the records (or portions thereof) are maintained in an information technology (IT) system, provide a copy of the most recently approved Privacy Impact Statement (PIA), DD Form 2980 dated June 2017.

Reference: DoDI 5400.16, DoD Privacy Impact Assessment (PIA) Guide.

Social Security Number (SSN) Justification Memoranda

- If the system of records identifies SSN as a category of the records in the system, include the current SSN Justification Memorandum, signed by the approving official and coordinated by the component privacy officer. The SSN justification must cite the applicable provisions of DoDI 1000.30. The continued use of this SSN, supported by the justification, must be approved by the Chief, DPCLTD.
- SSN justification must be updated and submitted for approval when there is a modification to the SORN which continues to include SSN as a category of records.

Reference: DoDI 1000.30, [Reduction of Social Security Numbers \(SSN\) Within DoD](#)

Exemptions/Proposed Rule

- Does the system have a published Privacy Act exemption rule?
 - If yes, provide confirmation that the Component Office of General Counsel (OGC) has reviewed the current exemption rule and verified that it is accurate and applicable to the system.

- Include the FR notice or Code of Federal Regulations (CFR) citation for the exemption.
- If new exemptions or modifications to existing exemptions are proposed for the system of records, include the proposed exemption rule with confirmation of approval from the Component OGC.

NARRATIVE STATEMENT (ONLY required for Additions and Modifications)

1. System name and number:

The proposed (New SORN) or current (Modified SORN) includes the **System Name** followed by the **System Number**.

Sample Format:

“Military Spouse Employment Partnership (MSEP) Career Portal,” DPR 47 DoD.

2. Purpose of establishing the system:

The intent is to explain to OMB and Congress why the Component is required to collect, use, and maintain the information on individuals in its system of records. This section will also be used in the preamble, which is published in the Federal Register with the SORN. When well written, it should reduce concerns and the number of comments submitted by the public when the SORN is published. The SORN should not be a duplication of any existing systems of records or SORNs that have already been published in the Federal Register. **It should not be a repetition of the purpose stated in the SORN.** Your response should address these three questions:

1. What action is being taken?
2. Why is this action necessary?
3. What is the intended effect of this action?

Sample Format: (DPR 47 DoD)

The Office of the Secretary of Defense is proposing to establish a system of records that will be the sole web platform utilized to connect military spouses with companies seeking to hire military spouse employees. Participating companies, called MSEP Partners, are vetted and approved participants in the MSEP Program and have pledged to recruit, hire, promote and retain military spouses in portable careers. MSEP is a targeted recruitment and employment partnership that connects American businesses with military spouses who possess essential workforce skills and attributes and are seeking portable, fulfilling careers. The MSEP program is part of the overall Spouse Education and Career Opportunities (SECO) program which falls under the auspices of the office of the Deputy Assistant Secretary of Defense for Military Community & Family Policy.

3. (Modified SORN) Nature of proposed modifications for the system:

This should be written in the same manner as described above for New SORNs. In addition to expanding the purpose for modified SORNs, briefly explain the significant changes that are being made to the system of records. The language **MUST NOT** simply reflect a copy and paste of the language in the Purpose section. The response should generally address these three questions:

1. What changes are being made?
2. Why are the changes necessary?
3. What is the intended effect of these changes?

Sample Format: (DTIC 01)

This system of records registers and certifies users of Defense Technical Information Center (DTIC) products and services. It ensures that Department of Defense scientific and technological information is appropriately managed to enable scientific knowledge and technological innovations to be fully accessible to authorized recipients while applying appropriate safeguards to assure that the information is protected according to national security requirements. This modification reflects a change to the system location, categories of individuals, categories of records, authorities, purpose, routine uses, retrievability, safeguards, system manager and address, notification procedure, record access procedures, contesting record procedures, and record source categories.

4. Authority for the maintenance of the system:

List the applicable authorities listed in the SORN (copy and paste the Authorities section from the Proposed SORN section).

Sample Format:

5 U.S.C. 4103, Establishment of training programs; 10 U.S.C. 3013, Secretary of the Army; Department of Defense Directive 1322.18, Military Training; Army Regulation (AR) 350-1, Army Training and Leader Development; AR 600-20, Army Command Policy; AR 600-8-8, The Total Army Sponsorship Program; AR 690-950, Career Management; and E.O. 9397 (SSN), as amended.

5. Evaluation of the probable or potential effect on the privacy of individuals:

The OMB Circular A-108 states, “If the agency has conducted one or more privacy impact assessment(s) with respect to information technology that will be used to collect, maintain, or disseminate the information in the system of records, the privacy impact assessment(s) will likely provide the information necessary to meet this requirement, and may be submitted in lieu of drafting a separate evaluation.”

If there is no PIA because the records are not stored an information system (electronic maintenance), list any known or perceived adverse effects on the individual by maintaining the system of records. A risk assessment of the categories of PII can be found in Committee of National Security Systems No. 1253

http://iassecurity.net/Resources/CNSSI_1253.SC%20Controls1.pdf

Sample Format:

The risk of unauthorized access to records is low due to SECO being hosted on a DoD Information Assurance Certification and Accreditation Process (DIACAP) certified and accredited infrastructure. Records are maintained on a military installation in a secure building in a controlled area accessible only to authorized personnel. Records are encrypted during transmission to protect session information and at rest.

6. Routine use compatibility:

OMB Circular A-108 requires components to explain how each new or modified routine use satisfies the compatibility requirement of the Privacy Act. Routine uses shall be narrowly tailored to address a specific and appropriate use of the records in the system of records. A

routine use may be appropriate when the use of the record is necessary for the efficient conduct of government, and when the use is both *related to* and *compatible with* the original purpose for which the information was collected. The concept of compatibility comprises both functionally equivalent uses of the information as well as other uses of the information that are necessary and proper.

Reference: [OMB Circular A-108](#)

Explanations of new and modified routine uses, and how they satisfy the compatibility requirement of the Privacy Act only need to be explained in the narrative statement. List only the routine uses themselves in the SORN. This explanation is only required here in the Narrative Statement.

Sample Format:

Routine use compatibility: The routine uses for this system are compatible with the purpose for which there records are collected. (Specific Routine Uses): To civilian educational institutions where the participant is enrolled, for the purposes of ensuring correct enrollment and billing information. This (or the following routine uses) routine use complies with 10 U.S.C. 1784a, Education and training opportunities for military spouses to expand employment and portable career opportunities and is necessary to conduct efficient government business within DoD.

7. OMB public information collection requirements:

Consult with your Component IMCO to answer these questions

OMB collection required: Yes/No

OMB Control Number (if approved): N/A (or number if available)

Title of collection: N/A (or Title if available)

Date Approved or Submitted: N/A (or date approved or submitted)

Expiration Date (if approved): N/A (or expiration date)

Reference: Information collections may be searched at <http://www.reginfo.gov/public/do/PRAMain>. Select “Department of Defense” to search DoD collections, and use the “edit” or “find” functions to search by license number or keyword.

Provide titles of any information collection requests (e.g., forms and number, surveys, etc.) contained in the systems of records: (list the names of any forms or other information collection instruments).

If collecting on members of the public and no OMB approval is required, state the applicable exception(s) or provide the reason for not having an approved OMB collection.

Reference: DoD 8910.1-M, Vol 2

Sample Format:

OMB collection required: Yes

OMB Control Number (if approved): 0704-0000

Title of collection: Sample Survey

Date Approved or Submitted: N/A

Expiration Date: July 31, 2018

Provide titles of any information collection requests (e.g., forms and number, surveys, interview scripts, etc.) contained in the system of records.

DD Form 123, Title of the Form
My Application Portal

Information Required by DPCLTD (Not submitted to OMB)

8. Name of Information Technology (IT) System and DITPR Number:

Answer this question with the full name of the IT system being used for the system of records.

Enter the DITPR Number.

If the system uses paper records or electronic files that are not maintained in an IT system, state "NONE."

Sample Format:

Defense User Registration System. DITPR Number 4300.

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

Answer Yes or No.

A routine use must be established to permit disclosure of records to the contractor operating a system. This can be validated in the PIA as well in the routine uses as modeled later in this document.

Reference: [OMB Circular A-108](#) (section j)

Sample Format:

Yes.

NARRATIVE STATEMENT TEMPLATE

DEPARTMENT OF DEFENSE

[DoD Component]

Narrative Statement for a [New/Modified] System of Records
Under the Privacy Act of 1974

1. System name and number:
2. Purpose of establishing the system (New): *Language to be provided.*
Nature of proposed modifications for the system (Modified)

The language must not be the same as the purpose stated in the SORN. Include in this section in 2 or 3 sentences stating what would happen if this system was not available, what action is being taken, why this action is necessary, and what will be the intended effect of this action. Also, list the sections of the SORN which are being changed.

3. Specific authority under which the system of records is maintained: [The specific, applicable statute or executive order must be provided. Avoid citing overly general authorities; rather cite the specific programmatic authority.]

4. Provide the agency's evaluation on the probable or potential effect on the privacy of individuals: OMB prefers language used in the PIA if the system has one. OMB Circular A-108, section 7.e.(2)(c) states, "If one or more PIA has been conducted with respect to information technology that will be used to collect, maintain, or disseminate the information in the SOR, the PIA may provide the information necessary to meet this requirement, and may be submitted in lieu of drafting a separate evaluation."

5. Routine use compatibility: Must explain each new or modified routine use and how it satisfies the compatibility of the Privacy Act. All routine uses should be consistent with the purpose for which information was collected, and be determined as being necessary and proper.

If a contractor maintains, access, collect PII, etc., on behalf of the Federal government, a routine use is required.

6. OMB public information collection requirements:
OMB collection required: Yes/No
OMB Control Number (if approved):
Title of collection if different:
Date Approved or Submitted to OMB:
Expiration Date (if approved):

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):

Information Required by DPCLTD: (Not submitted to OMB)

7. Name of IT system (state NONE if paper records only): (Provide DIPTR number if possible)

8. Is the system, in whole or in part, being maintained, (maintained, collected, used, or disseminated) by a contractor? Y/N. If yes, include the model routine use applicable to contractors in the SORN.

SYSTEM OF RECORDS NOTICE (SORN)

FORMATTING

- **Font:** Times New Roman
- **Size:** 12
- **Margins:** 1” throughout the document
- Two (2) spaces after periods or colons
- One (1) space after commas or semi-colons
- Use single line spacing
- No auto formatted lines before or after the paragraph
- Page numbers in the bottom right corner of the footer
- Section headings are to be **BOLDED** and **ALL CAPS**
- Spell out acronyms for the first use, use acronym for all subsequent uses
- Write in in plain language, avoid legal and technical jargon (Federal Plain Language Guidelines are available at:
<http://www.plainlanguage.gov/howto/guidelines/FederalPLGuidelines/index.cfm>)
- Use appropriate grammar
- Use spell check **BUT** remember it cannot catch all errors
- Ensure all paragraphs are left justified.
- **DO NOT underline, italicize, or change the wording in the notice section headings**
- **DO NOT** use headers
- **DO NOT** put a line break between the section heading and the paragraph provided

SORN SECTIONS

Excluding the introductory language and contact information in the Federal Register notice, there are **19** required sections in every SORN:

1. **SYSTEM NAME AND NUMBER**
2. **SECURITY CLASSIFICATION**
3. **SYSTEM LOCATION**
4. **SYSTEM MANAGER(S)**
5. **AUTHORITY FOR MAINTENANCE OF THE SYSTEM**
6. **PURPOSE OF THE SYSTEM**
7. **CATEGORIES OF INDIVIDUALS COVERED BY THE SYTEM**
8. **CATEGORIES OF RECORDS IN THE SYSTEM**
9. **RECORD SOURCE CATEGORIES**
10. **ROUTINE USES OF RECODS MAINTAINED IN THE SYTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES**
11. **POLICIES AND PRACTICES FOR STORAGE OF RECORDS**
12. **POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS**
13. **POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS**
14. **ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS**
15. **RECORDS ACCESS PROCEDURES**
16. **CONTESTING RECORD PROCEDURES**
17. **NOTIFICATION PROCEDURES**
18. **EXEMPTIONS PROMULGATED FOR THE SYSTEM**
19. **HISTORY - NEW REQUIREMENT**

SYSTEM NAME AND NUMBER:

- The system name should reasonably identify the general purpose or scope of the system
 - Concise, unambiguous, and clearly identifies the character or function of the system of records.
 - The name should not be excessively long
 - Acronyms should be spelled out first.
 - Should not be the name of the database or the IT system UNLESS it succinctly describes the system of records

- The SORN number is assigned by the DoD Component
 - Required on all notices
 - Limited to 21 positions
 - The first “alpha” character that precedes the SORN Number is assigned by DPCLTD. All characters following the first “alpha” character are assigned by the DoD Component Privacy Office. The table below lists each agency’s SORN alpha identifier.

SORN ALPHA IDENTIFIER AGENCY LIST

MILITARY BRANCHES		
Abbreviation	Full Name	SORN Alpha Identifier
USAF	United States Air Force	F
USA	United States Army	A
USN	United States Navy	N
USMC	United States Marine Corps	M

DEFENSE AGENCIES		
Abbreviation	Full Name	SORN Alpha Identifier
DCAA	Defense Contract Audit Agency	R
DCMA	Defense Contract Management Agency	P
DeCA	Defense Commissary Agency	Z
DFAS	Defense Finance and Accounting Services	T
DHA	Defense Health Agency	E
DIA	Defense Intelligence Agency	L
DISA	Defense Information Systems Agency	K
DLA	Defense Logistics Agency	S
DoDIG	Department of Defense Inspector General	C
DSS	Defense Security Service	V

DTRA	Defense Threat Reduction Agency	H
JS	Joint Staff	J
MDA	Missile Defense Agency	X
NGA	National Geospatial-Intelligence Agency	B
NSA	National Security Agency	G
NGB	National Guard Bureau	I
NRO	National Reconnaissance Office	Q
OSD	Office of the Secretary of Defense	D
USUHS	Uniformed Services University of the Health Sciences	W

COMBATANT COMMANDS		
Alpha Identifier reflects the character of the supporting Military Department		
Abbreviation	Full Name	SORN Alpha Identifier
USAFRICOM	United States Africa Command	A
USCENTCOM	United States Central Command	F
USEUCOM	United States European Command	A
USNORTHCOM	United States Northern Command	F
USPACOM	United States Pacific Command	A
USSOUTHCOM	United States Southern Command	A
USSOCOM	United States Special Operations Command	F
USSTRATCOM	United States Strategic Command	F
USTRANSCOM	United States Transportation Command	F

Reference: [DoD 5400.11-R](#), Department of Defense Privacy Program

Sample Format:

SYSTEM NAME AND NUMBER: Defense User Registration System (DURS) Records, DTIC 01.

SECURITY CLASSIFICATION:

An indication of whether any information in the system is classified or unclassified.

Reference: [OMB Circular A-108](#) (page 37)

Unless the system has a specifically established as a k(1) exemption under the Privacy Act, this will be “Unclassified”

Sample Format:

SECURITY CLASSIFICATION: Unclassified.

SYSTEM LOCATION:

The address of the Component responsible for the system, as well as the address of any third-party service provider.

Reference: [OMB Circular A-108](#) (page 37)

Sample Format:

SYSTEM LOCATION: Defense Technical Information Center (DTIC), Directorate of User Services, Communications and Customer Access Division, ATTN: DTIC–UC, 8725 John J. Kingman Road, Fort Belvoir, VA 22060–6218.

SYSTEM MANAGER(S):

The title, business address, and contact information of the agency official who is responsible for the system.

- An organizational email address and telephone number are strongly suggested.

Reference: [OMB Circular A-108](#) (page 38)

Sample Format:

SYSTEM MANAGER(S): Chief, Customer Access and Communications Division, DTIC–UC, 8725 John J. Kingman Road, Fort Belvoir, VA 22060–6218.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Cite the specific provision of the Federal statute or Executive Order (citation and descriptive title) that authorizes the maintenance of the system. Statutes, Executive Order of the President, or agency regulations may be cited as authorities for maintenance of the system. The authorities used must correspond with the individuals covered by the system and the categories of records therein.

- **Do not** list “5 U.S.C. 301, Departmental Regulations,” as this authority is generally too broad for purposes of a system of records notice.
- Each SORN should include at least one statute or Executive Order. However, only include DoD Directives, Instructions, Manuals and Regulations that have primary program relevance to the system of records at issue. Do not list DoD issuances that have only minimal or peripheral relevance.

List authorities in the following order:

- | | | |
|---------------------|------------------------------|--|
| 1. Statutes | 4. DoD Instructions | 7. E.O. 9397 (SSN), as amended
(Note: Use only if the SSN is
in the categories of records) |
| 2. Executive Orders | 5. DoD Publications/Manuals | |
| 3. DoD Directives | 6. DoD Component Regulations | |

Reference: [DoD 5400.11-R](#) (page 59, C6.3.7); [OMB Circular A-108](#) (page 38)

Sample Format:

AUTHORITY FOR MAINTENANCE OF THE SYSTEM: 5 U.S.C. 4103, Establishment of training programs; 10 U.S.C. 3013, Secretary of the Army; Department of Defense Directive 1322.18, Military Training; Army Regulation (AR) 350-1, Army Training and Leader

Development; AR 600-20, Army Command Policy; AR 600-8-8, The Total Army Sponsorship Program; AR 690-950, Career Management; and E.O. 9397 (SSN), as amended.

PURPOSE(S) OF THE SYSTEM:

State the purpose(s) for which the system of records was established and uses of the information which are internal to the Department. Purpose must be supported by the authorities cited.

References: [DoD 5400.11-R](#) (page 59, C6.3.8); [OMB Circular A-108](#) (page 38)

Sample Format:

PURPOSE(S) OF THE SYSTEM: The SECO Program is administered through a government website as the primary source of education, career and employment counseling for all military spouses. The SECO website delivers the resources and tools necessary to assist military spouses with career exploration/discovery, career education and training, employment readiness, and career connections at any point within the military spouse’s career lifecycle.

Records may also be used as a management tool for statistical analysis, tracking, reporting, evaluation program effectiveness and conducting research.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Identify in clear, non-technical terms, the specific individuals about whom records are being maintained in the system.

- The language, when relevant, can include generalized descriptions such as, “all military personnel,” “all Civilians,” or “Marine Civilians.” Foreign nationals should not be listed as a separate group since they do not meet the Privacy Act’s definition of “individual”.

References: [DoD 5400.11-R](#) (page 58, C6.3.5); [OMB Circular A-108](#) (page 38)

Sample Format:

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM: Participating spouses of members of the United States Armed Forces (military spouses).

CATEGORIES OF RECORDS IN THE SYSTEM:

Describe in clear, non-technical terms the types of records maintained in the system. List the information most unique to the individual (e.g., name, SSN, passport number, etc.); followed by broader groupings (e.g., gender, race, ethnicity, employment and, education information, etc.); with broader categories listed third (e.g., personal contact information, work contact information, education information, employment information).

NOTE: If the system will maintain information from other systems, and/or data elements from multiple forms it should be noted in this section and in the Record Source category. The language can, when appropriate, include phrases such as “including but not limited to” or “may include” to allow for more flexibility.

Sample Format:

CATEGORIES OF RECORDS IN THE SYSTEM: Military spouse’s name, DoD ID number, date of birth, gender, mailing and home address, years as military spouse, personal email address, personal cell and home telephone number, employment and education information, certificates and licenses, skills, abilities, and competencies.

NOTE: The name and number of the form must be listed in narrative statement, item 6.

References: [DoD 5400.11-R](#) (page 58, C6.3.6); [OMB Circular A-108](#) (page 38)

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. “The individual” should always be listed first whenever information is collected from the individual who is the subject of the record.

References: [DoD 5400.11-R](#) (page 62, C6.3.15); [OMB Circular A-108](#) (page 38)

Sample Format:

RECORD SOURCE CATEGORIES: The individuals, security personnel, the Defense Manpower Data Center, Department of Defense Person Search (DMDC DPS), and the electronic Official Personnel Folder (eOPF).

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

List each authorized routine use (permitted disclosure) of the information outside the DoD which maintains the system of records. Each routine use should identify the third party to whom disclosure is authorized, the type of information to be disclosed, and the purpose for the disclosure.

- When writing specific routine uses, avoid general statements such as “to other Federal agencies as required,” or “to any other appropriate Federal agency”.
- List routine uses in this order: specific, those using model language for routine uses, and standard (required) routine uses.
- Explain how each new or modified routine use satisfies the compatibility requirement of the Privacy Act. These explanations should establish why the disclosure is necessary for the efficient conduct of government and when the use is both related to and compatible with the original purpose for which the information was collected.
- Routine uses will be identified alphabetically (e.g., a, b, c, d...)
- If a contractor maintains, accesses, collects PII, etc., on behalf of the Federal Government, include the model language for that routine use.
- **DPCLTD will update this section relating to compatibility language at a future date.**

- **Note:** Blanket Routine Uses that are listed on the DPCLTD website should no longer be cited collectively in a new or modified SORNs. All routine uses that apply must be published in a SORN. Include each applicable model language routine use and all standard routine uses.
- List the routine uses in this order: Specific, those using model language, and standard.

The format for Specific Routine Uses must be:

To ... for the purpose of ...

Model Language for Routine Uses:

The following reflects model language for routine uses. Note that these are not “blanket” routine uses, nor should all of the model language included in this section be summarily copied into every system of records notice (SORN). Rather, model language is provided that should be used once it has been determined that a *particular* routine use is both related to and compatible with a particular system of records and appropriate for inclusion in the corresponding SORN. In some instances, the Component Office of General Counsel or Judge Advocate General should be consulted when considering establishing or making a disclosure from a record pursuant to any of these routine uses. Each new or modified routine use must include an explanation of how it satisfies the compatibility requirement of the Privacy Act. Any new or significantly modified routine uses require a minimum of 30 days after publication in the Federal Register before that routine use is effective. Once the 30-day criterion has been met, the routine use serves the basis for disclosure of any record in the system.

- To contractors, grantees, experts, consultants, students, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for the federal government when necessary to accomplish an agency function related to this system of records.
- To designated officers and employees of Federal, State, local, territorial or tribal, international, or foreign agencies maintaining civil, criminal, enforcement, or other pertinent information, such as current licenses, if necessary to obtain information relevant and necessary to a DoD Component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.
- To designated officers and employees of Federal, State, local, territorial, tribal, international, or foreign agencies in connection with the hiring or retention of an employee, the conduct of a suitability or security investigation, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency’s decision on the matter and the Department deems appropriate.

- To contractors whose employees require suitability determinations, security clearances, and/or access to classified national security information, for the purpose of ensuring that the employer is appropriately informed about information that relates to and/or may impact a particular employee or employee applicant's suitability or eligibility to be granted a security clearance and/or access to classified national security information.
- To a former DoD employee for the purpose of responding to an official inquiry by a Federal, State, local, territorial or tribal entity or professional licensing authority, in accordance with applicable DoD regulations; or for the purpose of facilitating communications with a former employee that may be necessary for personnel-related or other official purposes where the DoD requires information and/or consultation assistance from the former employee regarding a matter within that person's former area of responsibility.
- To foreign or international law enforcement, security, or investigatory authorities to comply with requirements imposed by, or to claim rights conferred in, international agreements and arrangements, including those regulating the stationing and status in foreign countries of DoD military and civilian personnel.
- To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. §§ 7111 and 7114, the Merit Systems Protection Board, arbitrators, the Federal Labor Relations Authority, and other parties responsible for the administration of the Federal labor-management program for the purpose of processing any corrective actions, or grievances, or conducting administrative hearings or appeals.
- To the Merit Systems Protection Board and the Office of the Special Counsel for the purpose of litigation, including administrative proceedings, appeals, special studies of the civil service and other merit systems; review of Office of Personnel Management or component rules and regulations; investigation of alleged or possible prohibited personnel practices, including administrative proceedings involving any individual subject of a DoD investigation.
- To the Office of Personnel Management (OPM) for the purpose of addressing civilian pay and leave, benefits, retirement deduction, and any other information necessary for the OPM to carry out its legally authorized government-wide personnel management functions and studies.
- To State and local taxing authorities with which the Secretary of the Treasury has entered into agreements under 5 U.S.C. §§ 5516, 5517, or 5520 and only to those state and local taxing authorities for which an employee or military member is or was subject to tax, regardless of whether tax is or was withheld. The information to be disclosed is information normally contained in Internal Revenue Service (IRS) Form W-2.
- To appropriate Federal, State, local, territorial, tribal, foreign, or international agencies for the purpose of counterintelligence activities authorized by U.S. law or Executive Order, or for the purpose of executing or enforcing laws designed to protect the national security or homeland security of the United States, including those relating to the sharing of records or information concerning terrorism, homeland security, or law enforcement.

- To any person, organization or governmental entity (e.g., local governments, first responders, American Red Cross, etc.), in order to notify them of or respond to a serious and imminent terrorist or homeland security threat or natural or manmade disaster as is necessary and relevant for the purpose of guarding against or responding to such threat or disaster.
- To complainants and/or victims to the extent necessary to provide such persons with information and explanations concerning the progress and/or results of an investigation or case arising from the matters of which they complained and/or of which they were a victim.
- To such recipients and under such circumstances and procedures as are mandated by federal statute or treaty.
- To the news media and the public unless it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

Note: All forms must spell out specific Routine Uses and provide a link to the SORN (in the purpose section of the Privacy Act Statement) to provide access to the remainder of the routine uses (model language and standard).

Standard Routine Uses: List in full the following routine uses that generally should be standard for every SORN and included in the same order for consistency. The Standard Routine Uses identified below have been determined by the SAOP to be necessary and proper:

- To the appropriate Federal, State, local, territorial, tribal, foreign, or international law enforcement authority or other appropriate entity where a record, either alone or in conjunction with other information, indicates a violation or potential violation of law, whether criminal, civil, or regulatory in nature.
- To any component of the Department of Justice for the purpose of representing the DoD, or its components, officers, employees, or members in pending or potential litigation to which the record is pertinent.
- In an appropriate proceeding before a court, grand jury, or administrative or adjudicative body or official, when the DoD or other Agency representing the DoD determines that the records are relevant and necessary to the proceeding; or in an appropriate proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding.
- To the National Archives and Records Administration for the purpose of records management inspections conducted under the authority of 44 U.S.C. §§ 2904 and 2906.
- To a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of, and at the request of, the individual who is the subject of the record.

- To appropriate agencies, entities, and persons when (1) the DoD suspects or has confirmed that there has been a breach of the system of records; (2) the DoD has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the DoD (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the DoD's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm.
- To another Federal agency or Federal entity, when the DoD determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

Reference: [OMB Circular A-108](#)

Sample Format (text in parentheses is for informational purposes only, not included in SORN):

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, as amended, the 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:

[Specific Routine Use]

- To a domestic or foreign entity that has entered into a public-private partnership with the Defense POW/MIA Accounting Agency (DPAA) as authorized by 10 U.S.C. 1501a, when DPAA determines that such disclosure is necessary to the performance of services DPAA has agreed shall be performed by the partner.

[Model Language Routine Uses]

- To contractors, grantees, experts, consultants, students, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for the federal government when necessary to accomplish an agency function related to this system of records.
- To appropriate Federal, State, local, territorial, tribal, foreign, or international agencies for the purpose of counterintelligence activities authorized by U.S. law or Executive Order, or for the purpose of executing or enforcing laws designed to protect the national security or homeland security of the United States, including those relating to the sharing of records or information concerning terrorism, homeland security, or law enforcement.

[Standard Routine Uses]

- d. To the appropriate Federal, State, local, territorial, tribal, foreign, or international law enforcement authority or other appropriate entity where a record, either alone or in conjunction with other information, indicates a violation or potential violation of law, whether criminal, civil, or regulatory in nature.
- e. To any component of the Department of Justice for the purpose of representing the DoD, or its components, officers, employees, or members in pending or potential litigation to which the record is pertinent.
- f. In an appropriate proceeding before a court, grand jury, or administrative or adjudicative body or official, when the DoD or other Agency representing the DoD determines that the records are relevant and necessary to the proceeding; or in an appropriate proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding.
- g. To the National Archives and Records Administration for the purpose of records management inspections conducted under the authority of 44 U.S.C. §§ 2904 and 2906.
- h. To a Member of Congress or staff acting upon the Member's behalf when the Member or staff requests the information on behalf of, and at the request of, the individual who is the subject of the record.
- i. To appropriate agencies, entities, and persons when (1) The Department of Defense (DoD) suspects or has confirmed that the security or confidentiality of the information in the system of records; (2) the DoD has determined that as a result of the suspected or confirmed breach there is a risk of harm to individuals, the DoD (including its information systems, programs, and operations), the Federal Government, or national security; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the DoD's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm.
- j. To another Federal agency or Federal entity, when the Department of Defense (DoD) determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in (1) responding to a suspected or confirmed breach or (2) preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity (including its information systems, programs and operations), the Federal Government, or national security, resulting from a suspected or confirmed breach.

POLICIES AND PRACTICES FOR STORAGE OF RECORDS:

Indicate the storage medium or media in which the records are maintained, e.g., electronic storage media, paper records, microfiche, etc.

References: DoD 5400.11-R (page 60, C6.3.10.1); OMB Circular A-108 (page 38)

Sample Format:

POLICIES AND PRACTICES FOR STORAGE OF RECORDS: Records are maintained in paper and electronic storage media, in accordance with the safeguards mentioned below.

POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS:

Specify how specific records in the system are retrieved, e.g., by name or other personal identifier.

References: DoD 5400.11-R (page 60, C6.3.10.2); OMB Circular A-108 (page 38)

Sample Format:

POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS: The records are retrieved primarily by name, work email address, and DoD ID number. .

POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:

Indicate how long the record is retained by the Component, if and when records are transferred to a Federal Records Center, time of retention at the Records Center, and, if they are permanent records, when the records are transferred to NARA or, if temporary, when the records are destroyed in accordance with DoD and NIST guidelines.

- Use plain language
- Do not cite the Component disposition schedule regulation. (e.g., AI-15) or file number (e.g., 202-46.1)
- DoD Components must use approved and applicable National Archives and Records Administration (NARA) records retention schedule. The SORN must state the length of time the records are maintained by the DoD Component and if deemed permanent records when they are transferred to NARA for permanent retention. This may be coordinated with the Component Records Manager.
- If your Agency has requested NARA approval of the disposition scheduled, use the approved Disposition Pending statement until the Agency receives a final disposition.

References: DoD 5400.11-R (page 60, C6.3.10.4); OMB Circular A-108 (page 38).

Sample Format:

POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS: System records are retained and disposed of according to DoD records maintenance and disposition schedules and the requirements of the National Archives and Records Administration.

Disposition Pending Sample Format (SF 115 submission required):

Disposition pending until the National Archives and Records Administration has approved the retention and disposition schedule, treat as permanent. [Note: This is language used when the component has submitted a SF115 to NARA. DPCLTD may require a copy of the SF115.]

ADMINISTRATIVE, PHYSICAL, AND TECHNICAL SAFEGUARDS:

Describe the administrative, physical, and technical safeguards currently in place to minimize the risk of unauthorized access to or disclosure of records. Identify the categories of employees who are authorized to have access to the records.

- Do not describe safeguards in such detail as to compromise system security.

References: DoD 5400.11-R (page 60, C6.3.10.3); OMB Circular A-108 (page 38)

Sample Format:

ADMINISTRATIVE, PHYSICAL, AND TECHNICAL SAFEGUARDS: Records are maintained in secure, limited access, and monitored areas. Database is monitored, access is password protected, and common access card (CAC) enabled. Firewalls and intrusion detection system are used. Physical entry by unauthorized persons is restricted through the use of locks, guards, passwords, and/or other security measures. Archived data is stored on compact discs, or magnetic tapes, which are kept in a locked, controlled access area. Access to personal information is limited to those individuals who require a need to know to perform their official assigned duties.

RECORD ACCESS PROCEDURES:

Describe how an individual can gain access to the records about themselves in the system. The procedural rules should be cited with a brief procedural description of the data needed. DoD Components should provide sufficient information in the notice to allow an individual to exercise his or her rights without referral to the formal rules.

Describe the required proof of identity. Information requested from the individual should also be listed in the categories of records.

- Include the official title and address for requests.
- Identify the offices through which the individual may obtain access.
- Describe any proof of identify required.
- Include “certification,” language.

References: DoD 5400.11-R (pp. 61-62, C6.3.13); OMB Circular A-108 (page 38)

Sample Format:

RECORD ACCESS PROCEDURES: Individuals seeking access to information about themselves contained in this system of records should address written requests to the Office of the Secretary of Defense/Joint Staff Freedom of Information Act Requester Service Center, 1155 Defense Pentagon, Washington, DC 20701-1155.

Signed, written requests should include the individual’s full name, telephone number, street address, email address, and name and number of this system of records notice.

In addition, the requester must provide either a notarized statement or a declaration made in accordance with 28 U.S.C. 1746, using 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:

DoD Component procedural rules for contesting a record must be codified in the CFR.

- Provide information on how individuals can locate Component procedural rules.
- Describe how the individual may contest the content of a record pertaining to them in the system.
- Inform the individual if they may also be referred to the system owner to determine the procedures.

References: DoD 5400.11-R (page 62, C6.3.14); OMB Circular A-108 (page 38).

Sample Format:

CONTESTING RECORD PROCEDURES: The Office of the Secretary of Defense (OSD) rules for accessing records, contesting contents, and appealing initial agency determinations are contained in OSD Administrative Instruction 81; 32 CFR part 311; or may be obtained from the system manager.

NOTIFICATION PROCEDURES:

Describe how an individual can determine whether records pertaining to themselves are maintained in the system. Procedural rules should be cited, but a brief description should be included. Components should provide sufficient information in the notice to allow an individual to exercise their rights without referral to the formal rules.

- Include the official title and address for requests.
- Describe the specific information required to determine if the individual has a records in the system.
- Describe what proof of identify is required with the request.
- Include the “certification,” language.
- Other than contact information, information requested from the individual to retrieve or validate a record should also be listed in the categories of records.

References: DoD 5400.11-R (pp. 61, C6.3.12); OMB Circular A-108 (page 38).

Sample Format:

NOTIFICATION PROCEDURES: Individuals seeking to determine if information about themselves is contained in this system should address written inquiries to Defense Technical

Information Center; Attn: DTIC-UC, 8725 John J. Kingman Road, Fort Belvoir, VA 22060-6218.

Signed, written requests should contain the individual's full name, telephone number, street address, email address, and name and number of this system of records notice.

In addition, the requester must provide either 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)."

EXEMPTIONS PROMULGATED FOR THE SYSTEM:

If no exemption has been established for the system, indicate "None". Exemptions must be aligned with the purpose and the authorities cited in the notice.

If an exemption is claimed under subsection (j) or (k) of the Privacy Act, cite the exemption and identify the CFR section containing the exemption rule for the system. Use the three-paragraph model, in which the first paragraph identifies the specific sections of the Privacy Act from which the System of Records is exempt. The second paragraph identifies the specific exemption for which the rule is established, and the third paragraph reflects compliance with the Administrative Procedures Act.

- All exemption rules must be approved through your Component/Agency Office of General Counsel
- Provide a copy of the exemption rule as published in the FR or CFR (if previously published)
 - Reference: www.federalregister.gov or <http://www.ecfr.gov/cgi-bin/ECFR?page=browse>
- Provide a copy of the Proposed Rule in the SORN package (if being proposed with the New or Modified SORN)

References: DoD 5400.11-R (page 62, C6.3.16); OMB Circular A-108 (page 38)

Sample Format:

EXEMPTIONS PROMULGATED FOR THE SYSTEM: The Department of Defense has exempted [is exempting] records maintained in [SORN Name and ID], from subsections [identify each applicable subsection from which an exemption is claimed] of the Privacy Act pursuant to 5 U.S.C. 552a [identify applicable exemption section].

[Paragraph(s) explaining the nature of the exemption cited, e.g., 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 system has been promulgated in accordance with requirements of 5 U.S.C. 553(b)(1), (2), and (3), (c) and (e) and published in 32 CFR part 311. For additional information contact the system manager.

HISTORY:

Citation(s) to the last full Federal Register notice that includes all of the elements that are required to be in a SORN, as well as any subsequent notices of partial revisions. List in order from the oldest (last published in full), then first modification, second modification, etc.

Reference: OMB Circular A-108 (page 39).

Sample Format:

HISTORY: 70 FR 21181, April 25, 2005; 73 FR 66852, November 12, 2008, and 75 FR 61135, October 4, 2010.

OMB A-108 SYSTEM OF RECORDS NOTICE TEMPLATES

Appendix II

OFFICE OF THE FEDERAL REGISTER SORN TEMPLATE – FULL NOTICE

Agencies shall publish all system of records notices (SORNs) in the *Federal Register* using the appropriate format provided in the appendices to this Circular. Agencies shall use the language and section headings provided in the template and replace the language in brackets with the appropriate agency language.

Appendix II provides the Office of the Federal Register SORN template for full notices that include all of the elements that are required to be in a SORN. Agencies shall use this template when publishing a new SORN or choosing to publish a revised SORN in its entirety.

Preamble: This summarizes the information the agency submits to request a notice be published in the Federal Register as required by NARA Document Drafting Handbook: Information can be found at: <https://www.archives.gov/files/federal-register/write/handbook/ddh.pdf>

[Name of agency]

- Example format: DEPARTMENT OF DEFENSE

Privacy Act of 1974; System of Records

AGENCY: [Name of agency and, if applicable, agency component].

- Example format: Department of the Army

ACTION: Notice of a [New/Modified] System of Records.

- Select the appropriate action that applies to the system. The submission will be for either a New, Modified, or Rescindment system of records.

SUMMARY: [A plain-language description of the system].

- Briefly describe what the system does and the impact the changes will have on the system.

Example format:

“The Office of the Secretary of Defense proposes to add a new system of records, Spouse Education and Career Opportunities, (SECO) Program, DPR 46 DoD. This program makes available the resources and tools to help military spouses with career exploration and discovery, career education and training, employment readiness, and career connections at any point within the military spouse’s career lifecycle. The records allow the spouse to build a

profile such as, contact information for spouse, education, and employment data that allows information to be saved over time and to prepopulate information into tools such as resume builders and career and education planning resources. Records may also be used as a management tool for statistical analysis, tracking, reporting, evaluation program effectiveness and conducting research.”

DATES: [The deadline to submit comments on the proposal and the date on which any routine uses will be effective].

- DPCLTD will provide this information in this section.

Example Format:

“**DATES:** Comments will be accepted on or before [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]. This proposed action will be effective on the date following the end of the comment period unless comments are received which result in a contrary determination.”

ADDRESSES: [Instructions for submitting comments on the proposal, including an email address or a website where comments can be submitted electronically].

- DPCLTD will complete this section.

Example Format:

ADDRESSES: You may submit comments, identified by docket number and title, by any of the following methods:

* Federal Rulemaking Portal: <http://www.regulations.gov>
Follow the instructions for submitting comments.

* Mail: Department of Defense, Office of the Deputy Chief Management Officer, Directorate of Oversight and Compliance, 4800 Mark Center Drive, Mailbox #24, Alexandria, VA 22350-1700.

FOR FURTHER INFORMATION CONTACT: [Instructions for submitting general questions about the system].

- Provide the name, title, office name, mailing address and phone number of the component privacy officer.

Example Format:

FOR FURTHER INFORMATION CONTACT: Ms./Mr. [name of Component Privacy Officer], Department of the Army Privacy Office, 1234 Any Street, Ste 105, Alexandria, VA 12345-6789 or by calling (703) 123-4567.

SUPPLEMENTARY INFORMATION: [Background information about the proposal, including a description of any changes being made to the system and the purpose(s) of the changes].

- Tell what impact the changes will have on the system. Explain the statutory intent of the system. Tell what would happen if this system did not make this change.

Example Format:

“SUPPLEMENTARY INFORMATION: The Office of the Secretary of Defense proposes to establish a new system of records subject to the Privacy Act of 1974, 5 U.S.C. 552a. The Department of Defense (DoD) Spouse Education and Career Opportunities (SECO) Program (DPR 46 DoD) is the primary source of education, career and employment counseling for all military spouses who are seeking post-secondary education, training, licenses and credentials needed for portable career employment. The SECO program delivers the resources and tools necessary to assist spouses of service members with career exploration/discovery, career education and training, employment readiness, and career connections at any point within the spouse career lifecycle. It is imperative that the DoD collect data to ensure that the SECO program is meeting its overarching goal of increasing employment opportunities for military spouses. The DoD requires the information in the proposed collection for program planning and management purposes. Collected information will ensure that the SECO program will be able to assemble relevant metrics and make determinations of program viability and improvement. Additionally, the data collected is utilized to build a spouse profile that allows information to be saved over time and to prepopulate information into tools such as resume builders and career and education planning resources.

This program was developed to comply with 10 U.S.C. 1784, Employment Opportunities for Military Spouses; 10 U.S.C. 1784a, Education and Training Opportunities for Military Spouses to Expand Employment and Portable Career Opportunities; 10 U.S.C. 1144, Employment Assistance, Job Training Assistance, and Other Transitional Services; and DoD Instruction, 1342.22 Military Family Readiness.”

SORN

The remainder of the Appendix should be followed in accordance with the SORN section below.

SYSTEM NAME AND NUMBER: [A name for the system that is unambiguous and clearly identifies the purpose or character of the system, and the number of the system].

SECURITY CLASSIFICATION: [An indication of whether any information in the system is classified].

SYSTEM LOCATION: [The address of the agency and/or component responsible for the system, as well as the address of any third-party service provider].

SYSTEM MANAGER(S): [The title, business address, and contact information of the agency official who is responsible for the system].

AUTHORITY FOR MAINTENANCE OF THE SYSTEM: [The specific authority that authorizes the maintenance of the records in the system].

PURPOSE(S) OF THE SYSTEM: [A description of the agency's purpose(s) for maintaining the system].

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM: [The categories of individuals on whom records are maintained in the system].

CATEGORIES OF RECORDS IN THE SYSTEM: [The categories of records maintained in the system and, if practicable and useful for public notice, specific data elements].

RECORD SOURCE CATEGORIES: [The categories of sources of records in the system].

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING

CATEGORIES OF USERS AND PURPOSES OF SUCH USES: [Each routine use of the records contained in the system, including the categories of users and the purpose of such use].

POLICIES AND PRACTICES FOR STORAGE OF RECORDS: [The policies and practices of the agency regarding the storage of records].

POLICIES AND PRACTICES FOR RETRIEVAL OF RECORDS: [The policies and practices of the agency regarding retrieval of records].

POLICIES AND PRACTICES FOR RETENTION AND DISPOSAL OF RECORDS:

[The policies and practices of the agency regarding retention and disposal of records].

ADMINISTRATIVE, TECHNICAL, AND PHYSICAL SAFEGUARDS: [A description of the administrative, technical, and physical safeguards to which the system is subject].

RECORD ACCESS PROCEDURES: [The agency procedures whereby an individual can be notified at his or her request how he or she can gain access to any record pertaining to him or her in the system].

CONTESTING RECORD PROCEDURES: [The agency procedures whereby an individual can be notified at his or her request how he or she can contest the content of any record pertaining to him or her in the system].

NOTIFICATION PROCEDURES: [The agency procedures whereby an individual can be notified at his or her request if the system contains a record pertaining to him or her].

EXEMPTIONS PROMULGATED FOR THE SYSTEM: [Any Privacy Act exemptions promulgated for the system].

HISTORY: [Citation(s) to the last full *Federal Register* notice that includes all of the elements that are required to be in a SORN, as well as any subsequent notices of revision].

Appendix III

OFFICE OF THE FEDERAL REGISTER SORN TEMPLATE – NOTICE OF REVISION

Agencies shall publish all system of records notices (SORNs) in the *Federal Register* using the format provided in the appendices to this Circular. Agencies shall use the language and section headings provided in the template and replace the language in brackets with the appropriate agency language.

Appendix III provides the Office of the Federal Register SORN template for revised notices that describe a modified system of records when the agency chooses not to publish the revised SORN in its entirety. The elements provided in the template are required to appear in any notice of a modified system of records. Elements omitted from the template shall be included in a notice of a modified system of records if there are revisions to those elements.

Preamble: This summarizes the information the agency submits to request a notice be published in the Federal Register as required by NARA Document Drafting Handbook: Information can be found at: <https://www.archives.gov/files/federal-register/write/handbook/ddh.pdf>.

[Name of agency]

Privacy Act of 1974; System of Records

AGENCY: [Name of agency and, if applicable, agency component.]

ACTION: Notice of a Modified System of Records.

SUMMARY: [A plain-language description of the system.]

DATES: [The deadline to submit comments on the proposal and the date on which any routine uses will be effective.]

ADDRESSES: [Instructions for submitting comments on the proposal, including an email address or a website where comments can be submitted electronically.]

FOR FURTHER INFORMATION CONTACT: [Instructions for submitting general questions about the system.]

SUPPLEMENTARY INFORMATION: [Background information about the proposal, including a description of the changes being made to the system and the purpose(s) of the changes.]

SORN

The remainder of the Appendix should be followed in accordance with the SORN section below.

SYSTEM NAME AND NUMBER: [A name for the system that is unambiguous and clearly identifies the purpose or character of the system, and the number of the system.]

SECURITY CLASSIFICATION: [An indication of whether any information in the system is classified].

SYSTEM LOCATION: [The address of the agency and/or component responsible for the system, as well as the address of any third-party service provider.]

SYSTEM MANAGER(S): [The title, business address, and contact information of the agency official who is responsible for the system].

[Agencies shall review the other elements in the full SORN template in Appendix II to this Circular and include elements for which revisions are necessary. For example, if an agency is modifying the categories of records in the system, the agency shall include that element in the notice of revision.]

HISTORY: [Citation(s) to the last full *Federal Register* notice that includes all of the elements that are required to be in a SORN, as well as any subsequent notices of revision.]

Appendix IV

OFFICE OF THE FEDERAL REGISTER SORN TEMPLATE – NOTICE OF RESCINDMENT

Agencies are required to publish a notice of rescindment in the *Federal Register* whenever they stop maintaining a previously established system of records. Agencies shall publish all notices of rescindment using the format provided in Appendix IV to this Circular. Agencies shall use the language and section headings provided in the template and replace the language in brackets with the appropriate agency language.

Preamble: This summarizes the information the agency submits to request a notice be published in the Federal Register as required by NARA Document Drafting Handbook: Information can be found at: <https://www.archives.gov/files/federal-register/write/handbook/ddh.pdf>

Department of Defense

Privacy Act of 1974; System of Records

AGENCY: [Department of Defense, agency component.]

ACTION: Rescindment of a System of Records Notice.

SUMMARY: [A plain-language description of the system that is being discontinued.]

DATES: [The date on which the agency stopped or will stop maintaining the system of records.]

ADDRESSES: [Instructions for submitting comments on the notice, including an email address or a website where comments can be submitted electronically.]

FOR FURTHER INFORMATION CONTACT: [Instructions for submitting general questions about the discontinued system.]

SUPPLEMENTARY INFORMATION: [Background information about the proposal, including an account of what will happen to the records that were previously maintained in the system and references to any other SORN that will pertain to the records.]

SORN

SYSTEM NAME AND NUMBER: [The name and number of the system that is being discontinued.]

HISTORY: [Citation(s) to the last full *Federal Register* notice that includes all of the elements that are required to be in a SORN, as well as any subsequent notices of revision.]