

Department of Defense  
Department of the Navy  
Narrative Statement on an Altered System of Records  
Under the Privacy Act of 1974

1. System identifier and name: N01531-1, entitled "USNA Applicants, Candidates, and Midshipmen Records."
2. Responsible official: Mrs. Shannon Campbell, Administrative Officer (FOIA/Privacy Act Coordinator), 121 Blake Road, Annapolis, MD 21402-1300; telephone (410) 293-1550.
3. Nature of proposed changes for the system: The Department of the Navy is proposing to alter the existing system of records by updating the system location, categories of individuals, categories of records, authority for maintenance, purpose(s), routine uses, storage, retrievability, safeguards, retention and disposal, system manager(s) and address, notification procedure, record access procedures, record source categories, and exemptions claimed for the system.
4. Authority for the maintenance (maintained, collected, used, or disseminated) of the system: 10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 6956, Midshipmen: Nomination and Selection to fill Vacancies; 10 U.S.C. 6957, Selection of Persons from Foreign Countries; 10 U.S.C. 6958, Midshipmen: Qualifications for Admission; 10 U.S.C. 6962, Midshipmen: Discharge for Unsatisfactory Conduct or Inaptitude; 10 U.S.C. 6963, Midshipmen: Discharge for Deficiency; and E.O. 9397 (SSN), as amended.
5. Provide the agencies evaluation on the probable or potential effects on the privacy of individuals: In reviewing/developing this SORN, the Department of the Navy reviewed the safeguards established for the system to ensure they are in compliant with DoD requirements and are appropriate to the sensitivity of the information stored within the system.
6. Is the system, in whole or in part, being maintained (maintained, collected, used or disseminated) by a contractor? Yes, FAR clauses are included in the contract.
7. Steps taken to minimize risk of unauthorized access: Paper records are stored in locked file containers, cabinets, vaults, or secured rooms with restricted access. Information maintained electronically requires role-based file access, Common Access Card (CAC), Public Key Infrastructure (PKI), and/or User ID and

password. Data in transit is encrypted. Backup files are secured in fire proof vault in Ward Hall.

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

Congressional staffs for the limited purpose of reviewing applicants for nomination and admission to the Naval Academy, as well as determining the status of midshipmen domiciled in their Districts.

Parents and legal guardians of midshipmen for the limited purpose of counseling midshipmen who encounter academic, performance and/or disciplinary difficulties, as well as health and welfare issues.

The United States Naval Academy Sponsor Program for the limited purpose of assigning midshipmen with a compatible sponsor to allow the student to develop and benefit from informal exchanges with civilian and military members in Annapolis and its adjacent communities.

The United States Naval Institute for the limited purpose of notifying midshipmen and their parents about benefits and opportunities provided by the United States Naval Institute.

The Naval Academy Athletic Association for the limited purpose of promoting and funding the Naval Academy Intercollegiate Athletic Program and for the purpose of supporting its activities related to the mission of the Naval Academy.

The United States Naval Academy Foundation for the limited purpose of sponsoring midshipmen candidates who were not admitted in previous years.

The United States Naval Academy Alumni Association for the limited purpose of supporting its activities related to the mission of the Naval Academy.

The Naval Academy Information Program for the limited purpose of assigning candidates with Naval Academy Information Program officers to help the candidates through the admissions process.

The DoD Blanket Routine Uses set forth at the beginning of the Department of the Navy's compilation of systems of records notices may apply to this system. The complete list of DoD blanket routine uses can be found online at: <http://dpcl.d.defense.gov/Privacy/SORNsIndex/BlanketRoutineUses.aspx>

9. OMB information collection requirements:

OMB collection required: Yes

OMB Control Number (if approved): OMB 0703-0036 and OMB 0703-0054

Title of collection if other than #10:

Date Approved or Submitted: Pending Renewal - Expired in 2010.

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

1. BGO Form USNA-1531/1 (6-15) OMB 0703-XXXX

If collecting on members of the public and no OMB approval is required, state the applicable exception(s): N/A

10. Name of IT system(s): Academic and Professionally Accredited Enterprise Education Enclave (AEEE), DITPR ID# 5737 and DITPR-DON ID# 21020.

Billing Code:  
DEPARTMENT OF DEFENSE  
Office of the Secretary of Defense  
Docket ID:  
Privacy Act of 1974; System of Records  
**AGENCY:** Department of the Navy, DoD.  
**ACTION:** Notice to Alter a System of Records.

**SUMMARY:** The Department of the Navy proposes to alter the system of records, N01531-1, entitled "USNA Applicants, Candidates, and Midshipmen Records" in its inventory of record systems subject to the Privacy Act of 1974, as amended.

This system establishes an audit trail of files which contains information on individuals as they progress from the application stage, through the admissions process, to disenrollment or graduation from the Naval Academy. Applicant's files contain information which is used to evaluate and to determine competitive standing and eligibility for appointments to the Naval Academy. This system maintains information on those sponsoring applicants to the Naval Academy and those selected to help applicants in the application stage through the admissions process.

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

**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: Federal Docket Management System Office, 4800 Mark Center Drive, East Tower, 2nd Floor, Suite 02G09, Alexandria, VA 22350-3100.

Instructions: All submissions received must include the agency name and docket number for this Federal Register document. The general policy for comments and other submissions from members of the public is to make these submissions available for public viewing on the Internet at <http://www.regulations.gov> as they are received without change, including any personal identifiers or contact information.

**FOR FURTHER INFORMATION CONTACT:** Ms. Robin Patterson, Head, PA/FOIA Office (DNS-36), Department of the Navy, 2000 Navy Pentagon, Washington, DC 20350-2000, or by phone at (202) 685-6545.

**SUPPLEMENTARY INFORMATION:** The Department of the Navy's notices for systems of records subject to the Privacy Act of 1974 (5 U.S.C. 552a), as amended, have been published in the Federal Register and are available from the address in FOR FURTHER INFORMATION CONTACT or from the Defense Privacy and Civil Liberties Office website at <http://dpclo.defense.gov/>.

The proposed system report, as required by 5 U.S.C. 552a(r) of the Privacy Act of 1974, as amended, was submitted on INSERT DATE, to the House Committee on Oversight and Government Reform, the Senate Committee on Governmental Affairs, and the Office of Management and Budget (OMB) pursuant to paragraph 4c of Appendix I to OMB Circular No. A-130, "Federal Agency Responsibilities for Maintaining Records About Individuals," dated February 8, 1996 (February 20, 1996, 61 FR 6427).

Dated:

Patricia L. Toppings  
OSD Federal Register Liaison Officer, Department of Defense

N01531-1

System name:

USNA Applicants, Candidates, and Midshipmen Records (February 27, 2007, 72 FR 8702).

Changes:

\* \* \* \* \*

System location:

Delete entry and replace with "United States Naval Academy (USNA), 290 Buchanan Road, Annapolis, MD 21402-1304."

Categories of Individuals covered in the system:

Delete entry and replace with "Applicants and candidates for admission to the Naval Academy, Naval Academy midshipman and midshipman candidates, Naval Academy Sponsor Program applicants and participants, and Naval Academy Information Program applicants and participants."

Categories of records:

Delete entry and replace with "Admissions records contain questionnaires concerning educational background, personal data, physical data, extracurricular activities, and employment; candidate fitness assessments; personal statements; transcripts from previously attended academic institutions; admission tests results; recommendation letters from school officials and others; extracurricular activities reports; reports of officer interviews; records of prior military service; and Privacy Act disclosure forms. Nomination information is entered electronically by congressional offices. This information includes the names of the persons whom each Congressman nominated and is matched to candidate data within the Admissions Information System (AIS) database. Records include name, other names used, Social Security Number (SSN), DoD ID Number, date of birth, place of birth, gender, race/ethnicity, citizenship, legal status, personal telephone number, home telephone number, personal email address, mailing/home/work address, security clearance, mother's middle name, marital status; biometrics: height and weight, emergency contact, military records, branch of service, rank, candidate number, graduation class; law enforcement information: police records, school probation periods; education information: high school name and address, classes or courses taken, cumulative grade point average, class rank, type of diploma, year of high school graduation

or expected graduation date, and transcripts; and employment information: work history.

Midshipmen records consist of academic, military, and physical records, that include fitness assessments, performance grades, personal history, record of emergency data, review boards records, medical excuse forms, conduct records and grades, counseling and guidance information, academic grades, class rankings, letters of commendation, training records, Oath of Office, separation status, military justice files, security clearance information, honor records, peer reviews, Privacy Act disclosure records, counseling records, and other records and information relative to the midshipman.

Sponsor records include personal information, military status, employment information, vehicle information, and related data. Records include name, sponsor number, alpha number, gender, date of birth, marital status, home address, personal email address, home phone, work phone, cell phone, branch of military service, rank/rate, military status, current employer, employer address, employer phone number, occupation, languages spoken, spouse name, spouse date of birth, spouse employer, police record, spouse employer phone, spouse occupation, spouse police record, number of children, types of pets, whether or not a smoker, hobbies and vehicle tags.

Information program records include Last 4 SSN, preferred name, name, gender, date of birth, spouse's name, occupation/title, primary address, email, phone number, service academy graduate & year, congressional state & district, access to internet status, comfort using computer status, military status, affiliations with USNA, interest in program, sexual harassment history, comments and recommendations from area coordinators, status of background check."

Authority for maintenance of the system:

Delete entry and replace "10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 6956, Midshipmen: Nomination and Selection to fill Vacancies; 10 U.S.C. 6957, Selection of Persons from Foreign Countries; 10 U.S.C. 6958, Midshipmen: Qualifications for Admission; 10 U.S.C. 6962, Midshipmen: Discharge for Unsatisfactory Conduct or Inaptitude; 10 U.S.C. 6963, Midshipmen: Discharge for Deficiency; and E.O. 9397 (SSN), as amended."

Purpose(s) :

Delete entry and replace with "To establish an audit trail of files which contain information on individuals as they progress from the application stage, through the admissions process, to disenrollment or graduation from the Naval Academy and to maintain information on those applying to assist individuals with their progression through the Academy."

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:  
Delete entry and replace with "In addition to those disclosures generally permitted under 5 U.S.C. 552a (b) of the Privacy Act of 1974, as amended these records contained therein may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a (b) (3) as follows:

Congressional staffs for the limited purpose of reviewing applicants for nomination and admission to the Naval Academy, as well as determining the status of midshipmen domiciled in their Districts.

Parents and legal guardians of midshipmen for the limited purpose of counseling midshipmen who encounter academic, performance and/or disciplinary difficulties, as well as health and welfare issues.

The United States Naval Academy Sponsor Program for the limited purpose of assigning midshipmen with a compatible sponsor to allow the student to develop and benefit from informal exchanges with civilian and military members in Annapolis and its adjacent communities.

The Naval Academy Information Program for the limited purpose of assigning candidates with a Naval Academy Information Program officer to help the candidates through the admissions process.

The United States Naval Institute for the limited purpose of notifying midshipmen and their parents about benefits and opportunities provided by the United States Naval Institute.

The Naval Academy Athletic Association for the limited purpose of promoting and funding the Naval Academy Intercollegiate Athletic Program and for the purpose of



supporting its activities related to the mission of the Naval Academy.

The United States Naval Academy Foundation for the limited purpose of sponsoring midshipmen candidates who were not admitted in previous years.

The United States Naval Academy Alumni Association for the limited purpose of supporting its activities related to the mission of the Naval Academy.

The DoD Blanket Routine Uses set forth at the beginning of the Department of the Navy's compilation of systems of records notices may apply to this system. The complete list of DoD blanket routine uses can be found online at: <http://dpcl.d.defense.gov/Privacy/SORNsIndex/BlanketRoutineUses.aspx>."

Storage:

Delete entry and replace with "Paper records in file folders, electronic storage media."

Retrievability:

Delete entry and replace with "Applicants and Candidates records: name, candidate number, and SSN.

Sponsor records: name, sponsor number, and alpha number.

Information program records: name and SSN.

MIDS records: name and alpha number."

Safeguards:

Delete entry and replace with "Paper records are stored in locked file containers, cabinets, vaults, or secured rooms with restricted access. Information maintained electronically requires role-based file access, Common Access Card (CAC), Public Key Infrastructure (PKI), and/or User ID and password. Data in transit is encrypted. Backup files are secured in fire proof vault in Ward Hall."

Retention and disposal:

Delete entry and replace with "Primary Program Records are Permanent and transferred to the United States Naval Academy Archives when no longer needed for current business operation.

Administrative records retain on board and destroyed when superseded, obsolete, or no longer needed for reference.

Midshipman records are retain on board and destroyed 2 years after verification of microfilm.

Databases consisting of official transcripts, class grade files, admission files, and other similar files are permanent and copies are transferred to the Naval Academy archives three years after the class graduates.

Records are destroyed by shredding, degaussing, and/or erasing."

\* \* \* \* \*

System manager(s) and address:

Delete entry and replace with "Superintendent, United States Naval Academy (USNA), 121 Blake Road, Annapolis, MD 21402-1300."

Notification procedure:

Delete and replace with "Individuals seeking to determine whether information about themselves is contained in this system should address written inquiries to the Superintendent, United States Naval Academy, 121 Blake Road, Annapolis, MD 21402-1300.

Written requests should contain full name, current mailing address, and SSN. Requester's should include candidate number and alpha number if applicable.

The system manager may require a notarized signature as a means of proving the identity of the individual requesting access to the records."

Record access procedures:

Delete and replace with "Individuals seeking access to information about themselves contained in this system should address written inquiries to the Superintendent, United States Naval Academy, 121 Blake Road, Annapolis, MD 21402-1300.

Written requests should contain full name, current mailing address, and SSN. Requester's should include candidate number and alpha number if applicable.

The system manager may require a notarized signature as a means of proving the identity of the individual requesting access to the records."

\* \* \* \* \*

Record Source Categories: Delete entry and replace with "From the individual; members of congress; school transcripts; evaluations; other educational institutions; College Entrance Examination Board and American College Testing scores; medical reports/physical exam results; faculty and staff evaluations; law enforcement agencies; Academic Board; evaluations from current or former employers, mentors, teachers, supervisors or coaches; grades; tests; conduct; performance; examinations; peers; awards; DoD; counseling; parents; and records of disclosure."

Exemptions claimed for the system: Delete entry and replace with "Parts of the system may be exempt under 5 U.S.C 552a(k)(5), (k)(6), or k(7), as applicable.

An exemption rule for this record system has been promulgated in accordance with 5 U.S.C. 553(b)(1), (2), and 3, (c) and (e) and published in 32 CFR part 701.128. For additional information contact the system manager."

\* \* \* \* \*

N01531-1

System name:

USNA Applicants, Candidates, and Midshipmen Records.

System location:

United States Naval Academy (USNA), 290 Buchanan Road,  
Annapolis, MD 21402-1304.

Categories of Individuals covered in the system:

Applicants and candidates for admission to the Naval Academy,  
Naval Academy midshipman and midshipman candidates, Naval  
Academy Sponsor Program applicants and participants, and Naval  
Academy Information Program applicants and participants.

Categories of records:

Admissions records contain questionnaires concerning  
educational background, personal data, physical data,  
extracurricular activities, and employment; candidate fitness  
assessments; personal statements; transcripts from previously  
attended academic institutions; admission tests results;  
recommendation letters from school officials and others;  
extracurricular activities reports; reports of officer  
interviews; records of prior military service; and Privacy  
Act disclosure forms. Nomination information is entered  
electronically by congressional offices. This information  
includes the names of the persons whom each Congressman  
nominated and is matched to candidate data within the  
Admissions Information System (AIS) database. Records include  
name, other names used, Social Security Number (SSN), DoD ID  
Number, date of birth, place of birth, gender,  
race/ethnicity, citizenship, legal status, personal telephone  
number, home telephone number, personal email address,  
mailing/home/work address, security clearance, mother's  
middle name, marital status; biometrics: height and weight,  
emergency contact, military records, branch of service, rank,  
candidate number, graduation class; law enforcement  
information: police records, school probation periods;  
education information: high school name and address, classes  
or courses taken, cumulative grade point average, class rank,  
type of diploma, year of high school graduation or expected  
graduation date, and transcripts; and employment information:  
work history.

Midshipmen records consist of academic, military, and  
physical records, that include fitness assessments,  
performance grades, personal history, record of emergency

data, review boards records, medical excuse forms, conduct records and grades, counseling and guidance information, academic grades, class rankings, letters of commendation, training records, Oath of Office, separation status, military justice files, security clearance information, honor records, peer reviews, Privacy Act disclosure records, counseling records, and other records and information relative to the midshipman.

Sponsor records include personal information, military status, employment information, vehicle information, and related data. Records include name, sponsor number, alpha number, gender, date of birth, marital status, home address, personal email address, home phone, work phone, cell phone, branch of military service, rank/rate, military status, current employer, employer address, employer phone number, occupation, languages spoken, spouse name, spouse date of birth, spouse employer, police record, spouse employer phone, spouse occupation, spouse police record, number of children, types of pets, whether or not a smoker, hobbies and vehicle tags.

Information program records include Last 4 SSN, preferred name, name, gender, date of birth, spouse's name, occupation/title, primary address, email, phone number, service academy graduate & year, congressional state & district, access to internet status, comfort using computer status, military status, affiliations with USNA, interest in program, sexual harassment history, comments and recommendations from area coordinators, status of background check.

Authority for maintenance of the system:

10 U.S.C. 5013, Secretary of the Navy; 10 U.S.C. 6956, Midshipmen: Nomination and Selection to fill Vacancies; 10 U.S.C. 6957, Selection of Persons from Foreign Countries; 10 U.S.C. 6958, Midshipmen: Qualifications for Admission; 10 U.S.C. 6962, Midshipmen: Discharge for Unsatisfactory Conduct or Inaptitude; 10 U.S.C. 6963, Midshipmen: Discharge for Deficiency; and E.O. 9397 (SSN), as amended.

Purpose(s):

To establish an audit trail of files which contain information on individuals as they progress from the application stage, through the admissions process, to disenrollment or graduation from the Naval Academy and to maintain information

on those applying to assist individuals with their progression through the Academy.

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 these records contained therein may specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a (b) (3) as follows:

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The DoD Blanket Routine Uses set forth at the beginning of the Department of the Navy's compilation of systems of records notices may apply to this system. The complete list of DoD blanket routine uses can be found online at: <http://dpcl.d.defense.gov/Privacy/SORNsIndex/BlanketRoutineUses.aspx>.

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

Storage:

Paper records in file folders, electronic storage media.

Retrievability:

Applicants and Candidates records: name, candidate number, and SSN.

Sponsor records: name, sponsor number, and alpha number.

Information program records: name and SSN.

MIDS records: name and alpha number.

Safeguard:

Paper records are stored in locked file containers, cabinets, vaults, or secured rooms with restricted access. Information maintained electronically requires role-based file access, Common Access Card (CAC), Public Key Infrastructure (PKI), and/or User ID and password. Data in transit is encrypted. Backup files are secured in fire proof vault in Ward Hall.

Retention and disposal:

Primary Program Records are Permanent and transferred to the United States Naval Academy Archives when no longer needed for current business operation.

Administrative records retain on board and destroyed when superseded, obsolete, or no longer needed for reference.

Midshipman records are retain on board and destroyed 2 years after verification of microfilm.

Databases consisting of official transcripts, class grade files, admission files, and other similar files are permanent and copies are transferred to the Naval Academy archives three years after the class graduates.

Records are destroyed by shredding, degaussing, and/or erasing.

System manager(s) and address:

Superintendent, United States Naval Academy (USNA), 121 Blake Road, Annapolis, MD 21402-1300.

Notification procedure:

Individuals seeking to determine whether information about themselves is contained in this system should address written inquiries to the Superintendent, U.S. Naval Academy, 121 Blake Road, Annapolis, MD 21402-1300.

Written requests should contain full name, current mailing address, and SSN. Requester's should include candidate number and alpha number if applicable.

The system manager may require a notarized signature as a means of proving the identity of the individual requesting access to the records.

Record access procedures:

Individuals seeking access to information about themselves contained in this system should address written inquiries to the Superintendent, U.S. Naval Academy, 121 Blake Road, Annapolis, MD 21402-1300.

Written requests should contain full name, current mailing address, and SSN. Requester's should include candidate number and alpha number if applicable.

The system manager may require a notarized signature as a means of proving the identity of the individual requesting access to the records.

Record Source Categories:

From the individual; members of congress; school transcripts; evaluations; other educational institutions; College Entrance Examination Board and American College Testing scores; medical reports/physical exam results; faculty and staff evaluations; law enforcement agencies; Academic Board; evaluations from current or former employers, mentors, teachers, supervisors or coaches; grades; tests; conduct; performance; examinations; peers; awards; DoD; counseling; parents; and records of disclosure.

Exemptions claimed for the system:



Parts of the system may be exempt under 5 U.S.C 552a(k) (5), (k) (6), or k(7), as applicable.

An exemption rule for this record system has been promulgated in accordance with 5 U.S.C. 553(b) (1), (2), and 3, (c) and (e) and published in 32 CFR part 701.128. For additional information contact the system manager.