

## Federal Bureau of Prisons



### **Privacy Impact Assessment** for the **FOIAXpress (FOIA)**

Issued by:  
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U.S. Department of Justice

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## **Section 1: Executive Summary**

*Provide a high-level overview of the information technology (e.g., application, tool, automated process) in non-technical terms that describes the information technology, its purpose, how the information technology operates to achieve that purpose, the general types of information involved, how information may be used and shared, and why a Privacy Impact Assessment was conducted. (Note: this section is an overview; the questions below elicit more detail.)*

The Federal Bureau of Prisons (FBOP) protects society by confining offenders in the controlled environments of prisons and community-based facilities that are safe, humane, and appropriately secure, and which provide work and other self-improvement opportunities to assist offenders in becoming law-abiding citizens. The FBOP's FOIAXpress system is used to manage, control, and respond to Freedom of Information (FOIA) and Privacy Act access requests (Privacy Act requests) related to FBOP's operations and policies. FBOP also uses FOIAXpress to store, manage, and maintain non-public agency records that have been gathered in response to each access request. Because the process of responding to FOIA and Privacy Act requests includes gathering potentially responsive records for analysis to determine which are responsive and which are not, FOIAXpress will contain all possibly relevant and deemed relevant records. In some cases, these contain personally identifiable information (PII) about the requestor or about other individuals mentioned or discussed in the requested records. FBOP has prepared a Privacy Impact Assessment for FOIAXpress because this system collects, maintains, and disseminates information in identifiable form about individuals.

## **Section 2: Purpose and Use of the Information Technology**

**2.1** *Explain in more detail than above the purpose of the information technology, why the information is being collected, maintained, or disseminated, and how the information will help achieve the Component's purpose, for example, for criminal or civil law enforcement purposes, intelligence activities, and administrative matters, to conduct analyses to identify previously unknown areas of concern or patterns.*

FOIAXpress is used to process access requests submitted to FBOP for records under the Freedom of Information Act, 5 U.S.C. § 552, the federal access law that requires the full or partial disclosure of previously unreleased information and documents controlled by federal agencies, and the Privacy Act, 5 U.S.C. § 552a, the federal law that governs the collection, maintenance, use, and dissemination of PII about individuals that is maintained and retrieved by federal agencies in systems of records.

FOIAXpress is a commercial off-the-shelf web-based application. The system allows FBOP to log and track the processing of FOIA or Privacy Act requests submitted to FBOP, using data entered by FBOP employees or automatically generated by FOIAXpress about the request, the requestor, or the FBOP employees assigned to process the request. FOIAXpress records the status of the request and relevant deadlines and can be used to record other key events or data, such as the agency's response to the request, communication with the requestor or other relevant federal agencies, and any related administrative appeals or court litigation arising from FBOP's processing of the request. FBOP also uses FOIAXpress to store and manage non-public agency records gathered in response to each access request. In some cases, these records contain PII about the requestor or about other individuals

mentioned or discussed in the records relevant to the request. The system also produces statistical records and contains records responsive and potentially responsive to FOIA and Privacy Act requests.

The requestor may submit a FOIA or Privacy Act request via physical mail or email; however, FBOP's FOIAXpress is now linked to the National FOIA Portal, which enables requestors to file requests without visiting FBOP's public website or emailing FBOP. FOIAXpress includes the FBOP Public Access Link (PAL), located at <https://bop-ogc-efoia-s@bop.gov>, which is a secure public-facing web portal that enables agencies to provide a centralized location for the public to submit FOIA requests. Any request for non-public information must either include a properly executed DOJ Form 361, Certification of Identity Form, or other form authorizing release information as long as the authorization is verified by a notary or contains a written attestation immediately above the signature of the request letter: "I declare under penalty of perjury that the foregoing is true and correct. Executed on [date]." If a request is regarding information about an inmate, employee, contractor, or visitor and not the requestor, FBOP requires a properly executed DOJ-361, consenting to release of the subject of the record's information to the requester (as long as it is not statutorily exempt from FOIA). For public information, requestors can submit the request on the FBOP's public website, which is automatically emailed to a resource mailbox in the Office of General Counsel.

FBOP FOIA personnel have access to the system. System contractors have access for system support only. Once a requestor's identity is verified, and DOJ Form 361 is completed, if necessary, the assigned FBOP FOIA personnel will contact the FBOP employees and contractors who may have responsive records. Those personnel then send the possibly responsive records to the assigned FBOP FOIA personnel, who then upload the information to FOIAXpress. The information maintained in FOIAXpress includes requestor information, as well as responsive records that FBOP is authorized to collect as part of its statutory custodial responsibilities for the care of federal inmates. FBOP FOIA personnel upload potentially responsive records to FOIAXpress and FBOP FOIA personnel determine which records are responsive to the request. Thus, FOIAXpress may contain records which are subsequently determined not to be responsive to the request.

Information manually entered for administrative purposes includes a requestor's name, address, email, and, where applicable, organizational or professional affiliation. This information is collected and can be reused, when deemed appropriate, to assist FBOP in providing responsive information, seek clarification, or generally communicate with the requestor.

Uploaded records are scanned using optical character recognition (OCR) and indexes can be used to search within scanned records to quickly locate information from multiple requests that may also be responsive to new requests. The system tracks and manages all FOIA and Privacy Act requests throughout FBOP and information can be retrieved by requestor name, system assigned FOIA Request Number, FBOP responding office, and due date. Types of PII may include, but are not limited to social security numbers, federal register numbers, medical and health records and information, investigative files, telephone numbers, and email addresses of FBOP employees, contractors, other third parties, and inmates.

The system is web-based and all information at rest and communications/transmissions are encrypted using the TLS protocol. Users access the system using a securely configured browser and access requires authentication. Access to FOIAXpress and data within is controlled by role management.

**2.2** *Indicate the legal authorities, policies, or agreements that authorize collection of the information. (Check all that apply and include citations/references.)*

| Authority |                                                                         | Citation/Reference                                                                                                                                          |
|-----------|-------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
| X         | Statute                                                                 | FOIA: 5 U.S.C. § 552; Privacy Act: 5 U.S.C. § 552a; 18 U.S.C. § 4042.                                                                                       |
|           | Executive Order                                                         |                                                                                                                                                             |
| X         | Federal Regulation                                                      | DOJ Regulation – 28 C.F.R. 16.1 – 16.11<br>FBOP Regulations – 28 C.F.R. 513.30 – 513.68                                                                     |
| X         | Agreement, memorandum of understanding, or other documented arrangement | U.S. Citizenship and Immigration Services (USCIS) agreement to process USCIS and FBOP FOIA requests concerning inmates' citizenship and immigration status. |
|           | Other (summarize and provide copy of relevant portion)                  |                                                                                                                                                             |

**Section 3: Information in the Information Technology**

**3.1** *Indicate below what types of information that may be personally identifiable in Column (1) will foreseeably be collected, handled, disseminated, stored and/or accessed by this information technology, regardless of the source of the information, whether the types of information are specifically requested to be collected, and whether particular fields are provided to organize or facilitate the information collection. Please check all that apply in Column (2) and indicate to whom the information relates in Column (3). Note: This list is provided for convenience; it is not exhaustive. Please add to "other" any other types of information.*

| (1) General Categories of Information that May Be Personally Identifiable  | (2) Information is collected, processed, disseminated, stored and/or accessed by this information technology (please check each applicable row) | (3) The information relates to:<br>A. DOJ/Component Employees, Contractors, and Detailees;<br>B. Other Federal Government Personnel;<br>C. Members of the Public - US Citizens or Lawful Permanent Residents (USPERs);<br>D. Members of the Public - Non-USPERs | (4) Comments                                                                                                                                                                        |
|----------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Example: Personal email address</i>                                     | X                                                                                                                                               | B, C and D                                                                                                                                                                                                                                                      | <i>Email addresses of members of the public (US and non-USPERs)</i>                                                                                                                 |
| <b>Name</b>                                                                | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | First and Last name of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.                                                                 |
| <b>Date of birth or age</b>                                                | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Date of birth or age of requestor, incarcerated or released persons, employees, contractors and/or inmate visitors. This is not always required, but sometimes provided.            |
| <b>Place of birth</b>                                                      | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Place of birth of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors. This is not always required, but sometimes provided.                 |
| <b>Sex</b>                                                                 | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Sex of incarcerated or released persons, employees, contractors, and/or inmate visitors. This is not always required but sometimes provided.                                        |
| <b>Race, ethnicity or citizenship</b>                                      | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Race, ethnicity and citizenship of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors. This is not always required but sometimes provided. |
| <b>Religion</b>                                                            | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Religion of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors. This is not requested but is sometimes provided.                           |
| <b>Social Security Number (full, last 4 digits or otherwise truncated)</b> | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Full Social Security Numbers and/or truncated numbers of requestor, incarcerated or released persons,                                                                               |

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|---------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                           |                                                                                                                                                 |                                                                                                                                                                                                                                                                 | employees, contractors, and/or inmate visitors. This is not always required but sometimes provided.                                                                                             |
| <b>Tax Identification Number (TIN)</b>                                    | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Tax Identification Numbers of businesses contracted by FBOP to perform a service and/or deliver goods. This is not always required but sometimes provided.                                      |
| <b>Driver's license</b>                                                   | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Driver's license numbers of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors. This is generally not required but sometimes provided without request. |
| <b>Alien registration number</b>                                          | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Alien Registration numbers of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors. This is not always required but sometimes provided.                  |
| <b>Passport number</b>                                                    | X                                                                                                                                               | A, C, and D                                                                                                                                                                                                                                                     | Passport numbers of incarcerated or released persons, employees, contractors, and/or inmate visitors. This is generally not required but sometimes provided.                                    |
| <b>Mother's maiden name</b>                                               | X                                                                                                                                               | A, C, and D                                                                                                                                                                                                                                                     | Mother's maiden name of employees, and incarcerated or released persons. This is generally not required but sometimes provided.                                                                 |
| <b>Vehicle identifiers</b>                                                | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Vehicle identifiers of employees, contractors, and/or inmate visitors. This is not always required but sometimes provided.                                                                      |

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|---------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Personal mailing address</b>                                           | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Personal mailing address of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors. This is not always required but sometimes provided. |
| <b>Personal e-mail address</b>                                            | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Personal e-mail address of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors. This is not always required but sometimes provided.  |
| <b>Personal phone number</b>                                              | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Personal phone number of requestor, released persons, employees, contractors, and/or inmate visitors. This is generally not required, but sometimes provided.                |
| <b>Medical records number</b>                                             | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Uploaded medical records numbers from outside medical providers for employees, visitors, contractors, and/or inmates. This is generally not required but sometimes provided. |
| <b>Medical notes or other medical or health information</b>               | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, medical notes or other medical/health information of incarcerated or released persons, employees contractors, and/or inmate visitors.              |
| <b>Financial account information</b>                                      | X                                                                                                                                               | A, C, and D                                                                                                                                                                                                                                                     | As relevant to a request, financial account information of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.                      |
| <b>Applicant information</b>                                              | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, information from                                                                                                                                   |

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|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                            |                                                                                                                                                 |                                                                                                                                                                                                                                                                 | applications or forms<br>FBOP is authorized or required to collect from employees, contractors, and/or members of the public.                                                                   |
| <b>Education records</b>                                                                                   | X                                                                                                                                               | A, C, and D                                                                                                                                                                                                                                                     | As relevant to a request, education records of requestor, incarcerated or released persons, employees, contractors, volunteers, and/or official inmate visitors, such as legal representatives. |
| <b>Military status or other information</b>                                                                | X                                                                                                                                               | A, C, and D                                                                                                                                                                                                                                                     | As relevant to a request, military status/information of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.                                           |
| <b>Employment status, history, or similar information</b>                                                  | X                                                                                                                                               | A, C, and D                                                                                                                                                                                                                                                     | As relevant to a request, employment status or history of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.                                          |
| <b>Employment performance ratings or other performance information, e.g., performance improvement plan</b> | X                                                                                                                                               | A, C, and D                                                                                                                                                                                                                                                     | As relevant to a request, employment performance ratings, other performance information and/or performance improvement plan of incarcerated or released persons, employees, and/or contractors. |
| <b>Certificates</b>                                                                                        | X                                                                                                                                               | A, C, and D                                                                                                                                                                                                                                                     | As relevant to a request, certificates of incarcerated or released persons, employees, and/or contractors.                                                                                      |
| <b>Legal documents</b>                                                                                     | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, legal documents of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.                                                       |
| <b>Device identifiers, e.g., mobile</b>                                                                    | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  |                                                                                                                                                                                                 |

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|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>devices</b>                                                                                                     |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                  |
| <b>Web uniform resource locator(s)</b>                                                                             |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                  |
| <b>Foreign activities</b>                                                                                          |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                  |
| <b>Criminal records information, e.g., criminal history, arrests, criminal charges</b>                             | X                                                                                                                                               | A, C, and D                                                                                                                                                                                                                                                     | As relevant to a request, criminal records of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.                       |
| <b>Juvenile criminal records information</b>                                                                       | X                                                                                                                                               | A, C and D                                                                                                                                                                                                                                                      | As relevant to a request, juvenile criminal records of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.              |
| <b>Civil law enforcement information, e.g., allegations of civil law violations</b>                                | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, civil law information of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.                  |
| <b>Whistleblower, e.g., tip, complaint or referral</b>                                                             |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                  |
| <b>Grand jury information</b>                                                                                      | X                                                                                                                                               | A, C, and D                                                                                                                                                                                                                                                     | As relevant to a request, grand jury information files that may contain employee and inmate information.                                                         |
| <b>Information concerning witnesses to criminal matters, e.g., witness statements, witness contact information</b> | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, witness statements/contact information of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors. |
| <b>Procurement/contracting records</b>                                                                             | X                                                                                                                                               | A and B                                                                                                                                                                                                                                                         | As relevant to a request, procurement/contracting records of employees, contractors or other federal government personnel.                                       |
| <b>Proprietary or business information</b>                                                                         | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, business information of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.                   |

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|--------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                  |                                                                                                                                                 |                                                                                                                                                                                                                                                                 | This information may also be voluntarily submitted by the requestor.                                                                                              |
| <b>Location information, including continuous or intermittent location tracking capabilities</b> |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                   |
| <i>Biometric data:</i>                                                                           |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                   |
| - <b>Photographs or photographic identifiers</b>                                                 | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, photographs or photographic identifiers of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors. |
| - <b>Video containing biometric data</b>                                                         | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, recorded video data of persons inside an FBOP facility.                                                                                 |
| - <b>Fingerprints</b>                                                                            | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, fingerprints of requestor, incarcerated or released persons, employees, and/or contractors.                                             |
| - <b>Palm prints</b>                                                                             |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                   |
| - <b>Iris image</b>                                                                              |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                   |
| - <b>Dental profile</b>                                                                          | X                                                                                                                                               | C and D                                                                                                                                                                                                                                                         | As relevant to a request, dental profile of requestor, incarcerated or released persons.                                                                          |
| - <b>Voice recording/signatures</b>                                                              | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, voice recording/signatures of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.              |
| - <b>Scars, marks, tattoos</b>                                                                   | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | As relevant to a request, scars, marks or tattoos of requestor, incarcerated or released persons, employees, contractors, and/or inmate visitors.                 |
| - <b>Vascular scan, e.g., palm or finger vein biometric data</b>                                 |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                   |

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|------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| - DNA profiles                                                               |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                          |
| - Other (specify)                                                            |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                          |
| <i>System admin/audit data:</i>                                              |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                          |
| - User ID                                                                    | X                                                                                                                                               | A                                                                                                                                                                                                                                                               | User ID of FBOP personnel.                                                                                                                                                                                                                                                                                                                               |
| - User passwords/codes                                                       | X                                                                                                                                               | A                                                                                                                                                                                                                                                               | System Administrator passwords only.                                                                                                                                                                                                                                                                                                                     |
| - IP address                                                                 |                                                                                                                                                 |                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                          |
| - Date/time of access                                                        | X                                                                                                                                               | A                                                                                                                                                                                                                                                               | Date/time of access of FBOP personnel.                                                                                                                                                                                                                                                                                                                   |
| - Queries run                                                                | X                                                                                                                                               | A                                                                                                                                                                                                                                                               | Productivity queries of FBOP employees relating to their official duties.                                                                                                                                                                                                                                                                                |
| - Content of files accessed/reviewed                                         | X                                                                                                                                               | A                                                                                                                                                                                                                                                               | Metadata of FOIA requests can be accessed and updated by FBOP employees as part of their official duties.                                                                                                                                                                                                                                                |
| - Contents of files                                                          | X                                                                                                                                               | A                                                                                                                                                                                                                                                               | System Administrator has access to review the content of all FBOP files, including deletion of files, as needed.                                                                                                                                                                                                                                         |
| Other (please list the type of info and describe as completely as possible): | X                                                                                                                                               | A, B, C, and D                                                                                                                                                                                                                                                  | Federal Register numbers, FBI numbers, and other Federal Government Agency Identifiers of incarcerated or released persons. Because of the varied nature of the records gathered and maintained in FOIAXpress to determine which information is subject to disclosure, other types of PII not listed above may be collected, maintained or disseminated. |

**3.2**     *Indicate below the Department's source(s) of the information. (Check all that apply.)*

|                                                                                                                                                                                                                                                                                                                                                                                                                        |  |                     |   |        |   |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------------|---|--------|---|
| <b>Directly from the individual to whom the information pertains:</b>                                                                                                                                                                                                                                                                                                                                                  |  |                     |   |        |   |
| In person                                                                                                                                                                                                                                                                                                                                                                                                              |  | Hard copy: mail/fax | X | Online | X |
| Phone                                                                                                                                                                                                                                                                                                                                                                                                                  |  | Email               | X |        |   |
| Other (specify): DOJ Form 361; FOIA and Privacy Act Requests that are emailed, mailed, or submitted via the National FOIA Portal or PAL; If an individual is represented by an attorney, the attorney may provide information on the client's behalf. Because the attorney acts as the client's representative, FBOP considers any personal information provided by an attorney as submitted by the individual client. |  |                     |   |        |   |

|                                                                                                                              |   |                                                                                                                                                  |   |        |   |
|------------------------------------------------------------------------------------------------------------------------------|---|--------------------------------------------------------------------------------------------------------------------------------------------------|---|--------|---|
| <b>Government sources:</b>                                                                                                   |   |                                                                                                                                                  |   |        |   |
| Within the Component                                                                                                         | X | Other DOJ Components                                                                                                                             | X | Online | X |
| State, local, tribal                                                                                                         | X | Foreign (identify and provide the international agreement, memorandum of understanding, or other documented arrangement related to the transfer) | X |        |   |
| Other (specify): Other federal entities that are consulting with or referring FOIA-requested records to FBOP for processing. |   |                                                                                                                                                  |   |        |   |

|                                                                                                                                                                                                                                                                                                   |   |                        |   |                |   |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|------------------------|---|----------------|---|
| <b>Non-government sources:</b>                                                                                                                                                                                                                                                                    |   |                        |   |                |   |
| Members of the public                                                                                                                                                                                                                                                                             | X | Public media, Internet | X | Private sector | X |
| Commercial data brokers                                                                                                                                                                                                                                                                           | X |                        |   |                |   |
| Other (specify): Any of the above categories may be FOIA requestors submitting requests that will be stored in FOIAXpress. Additionally, records that are potentially responsive to FOIA requests, which are also stored in the system, may consist of information provided by the above sources. |   |                        |   |                |   |

## **Section 4: Information Sharing**

**4.1** *Indicate with whom the component intends to share the information and how the information will be shared or accessed, such as on a case-by-case basis by manual secure electronic transmission, external user authorized accounts (i.e., direct log-in access), interconnected systems, or electronic bulk transfer.*

| Recipient            | How information will be shared |               |                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|----------------------|--------------------------------|---------------|----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                      | Case-by-case                   | Bulk transfer | Direct log-in access | Explain specifics of the sharing, as well as how these disclosures will support and are compatible with the purposes of the collection.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Within the Component | X                              |               | X                    | Only FBOP FOIA personnel with a need-to-know have direct log-in access to the system. Potentially responsive information may be shared within the component for review prior to disclosure.                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| DOJ Components       | X                              |               |                      | Potentially responsive information that originated with other components may be transmitted by email for their review and approval or denial prior to disclosure. Data is only shared within internal DOJ components on a case-by-case basis consistent with system of records notices. The internal DOJ component must comply with Federal FOIA and privacy laws. All information that is covered by the Privacy Act is disseminated in accordance with the Privacy Act's disclosure rules.                                                                                                                                                                         |
| Federal entities     | X                              |               |                      | Potentially responsive information that originated with other Federal agencies may be transmitted by encrypted email for their review and approval or denial prior to disclosure. Data is only shared with external Federal law enforcement agencies on a case-by-case basis consistent with system of records notices. Outside federal law enforcement entities must comply with Federal FOIA and privacy laws. All information that is covered by the Privacy Act is disseminated in accordance with the Privacy Act's disclosure rules. Additionally, if shared with non-DOJ entities, Memoranda of Agreements or Understanding restrict use of the data for only |

| Recipient                           | How information will be shared |               |                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|-------------------------------------|--------------------------------|---------------|----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                     | Case-by-case                   | Bulk transfer | Direct log-in access | Explain specifics of the sharing, as well as how these disclosures will support and are compatible with the purposes of the collection.                                                                                                                                                                                                                                                                                                                                                                                                       |
|                                     |                                |               |                      | authorized purposes and prohibits further redistribution of the data. In addition, MOA/MOUs prescribe the security and privacy requirements of data once it is shared.                                                                                                                                                                                                                                                                                                                                                                        |
| State, local, tribal gov't entities | X                              |               |                      | Records will be provided in response to FOIA and Privacy Act requests after a thorough review is conducted by trained professionals to ensure records are properly authorized for release under the FOIA or Privacy Act. Responsive information that originated with State, local, or tribal governments may be transmitted by encrypted email for their review and approval or denial prior to disclosure. State and local law enforcement may also be provided information on a case-by-case basis in relation to a criminal investigation. |
| Public                              | X                              |               |                      | Records will be provided in response to FOIA and Privacy Act requests after a thorough review is conducted by trained professionals to ensure records are properly authorized for release under the FOIA or Privacy Act. Responses will be sent by mail or encrypted email depending on the format in which the respective requests were received.                                                                                                                                                                                            |

| Recipient                                                                                            | How information will be shared |               |                      |                                                                                                                                                                                                                                                                                                                        |
|------------------------------------------------------------------------------------------------------|--------------------------------|---------------|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                      | Case-by-case                   | Bulk transfer | Direct log-in access | Explain specifics of the sharing, as well as how these disclosures will support and are compatible with the purposes of the collection.                                                                                                                                                                                |
| Counsel, parties, witnesses, and possibly courts or other judicial tribunals for litigation purposes | X                              |               |                      | Records will be released pursuant to a court of competent jurisdiction's order. Additionally, records will be provided in response to FOIA and Privacy Act requests after a thorough review is conducted by trained professionals to ensure records are properly authorized for release under the FOIA or Privacy Act. |
| Private sector                                                                                       | X                              |               |                      | Records will be provided in response to FOIA and Privacy Act requests after a thorough review is conducted by trained professionals to ensure records are properly authorized for release under the FOIA or Privacy Act.                                                                                               |
| Foreign governments                                                                                  | X                              |               |                      | Records will be provided in response to FOIA and Privacy Act requests after a thorough review is conducted by trained professionals to ensure records are properly authorized for release under the FOIA or Privacy Act.                                                                                               |
| Foreign entities                                                                                     | X                              |               |                      | Records will be provided in response to FOIA and Privacy Act requests after a thorough review is conducted by trained professionals to ensure records are properly authorized for release under the FOIA or Privacy Act.                                                                                               |
| Other (specify):                                                                                     |                                |               |                      |                                                                                                                                                                                                                                                                                                                        |

**4.2** *If the information will be released to the public for “[Open Data](#)” purposes, e.g., on data.gov (a clearinghouse for data from the Executive Branch of the Federal Government), and/or for research or statistical analysis purposes, explain whether—and, if so, how—the information will be de-identified, aggregated, or otherwise privacy protected.*

N/A

## **Section 5: Notice, Consent, Access, and Amendment**

**5.1 *What, if any, kind of notice will be provided to individuals informing them about the collection, use, sharing or other processing of their PII, e.g., a Federal Register System of Records Notice (SORN), providing generalized notice to the public, a Privacy Act § 552a(e)(3) notice for individuals, or both? Will any other notices be provided? If no notice is provided, please explain.***

FBOP will display a Privacy Act Statement to all individuals who access the FBOP's public website, including to submit Freedom of Information Act and Privacy Act requests that reads as:

*Pursuant to 5 U.S.C. § 552a(e)(3), this Privacy Act Statement serves to inform you of the following concerning the collection of the information on this form.*

- A. AUTHORITY: Collection of the information solicited on this site is authorized by the Freedom of Information Act (FOIA), 5 U.S.C. Sec. 552, which allows any individual or organization access to government records through a FOIA request. To respond to your FOIA request, personal information including your name, email address, mailing address, company name or association, phone number, FAX number, and other personal information may be collected.*
- B. PURPOSE: The FOIA established a statutory right of public access to Executive Branch information in the federal government. The Act requires agencies assign individualized tracking numbers for requests and inform the requester of such, to identify records protected from disclosure, to keep an accurate accounting of disclosures and prepare Annual FOIA Reports. The primary purpose for FBOP's FOIAXpress is to create and track requests made pursuant to the Act, process responsive records as required by the Act, and provide accurate accountings of the disposition of requests made pursuant to the Act in one comprehensive system.*
- C. ROUTINE USES: The information maintained in the system may be made available as a "routine use" under the Privacy Act of 1974. Routine uses include but are not limited to disclosure to federal, state, local, and tribal law enforcement agencies and officials for law enforcement purposes; to a court or adjudicative body where the Department or the Bureau is authorized to appear when the Department of Justice or the FBOP is a party to litigation or has an interest in litigation; and to the National Archives and Records Administration and General Services Administration for records management inspections. To view a full list of routine uses, the relevant system of records notices can be found at: JUSTICE/DOJ-004, published on 77 FR 10740 (May 4, 2012), last modified at 82 FR 10781 (May 25, 2017), and available at: <https://www.govinfo.gov/content/pkg/FR-2012-05-04/pdf/2012-10740.pdf>.*
- D. CONSEQUENCES OF FAILURE TO PROVIDE INFORMATION: Providing this information is voluntary. However, users who require access to or wish to participate in the training services must enter information through the online application process. By submitting information, requestors voluntarily agree to participate in the collection and use of information in the system. Failure to provide this information may affect the FBOP's ability to response to your FOIA request.*

Individuals are also able to access the FBOP's privacy notice and website privacy notice, which is available at [https://www.bop.gov/website/privacy\\_policy.jspon](https://www.bop.gov/website/privacy_policy.jspon), and are provided general notice to the public by way of JUSTICE/DOJ-004, Freedom of Information Act, Privacy Act, and Mandatory Declassification Review Records, last published in full at 77 Fed. Reg. 26580 (May 4, 2012).

**5.2 *What, if any, opportunities will there be for individuals to voluntarily participate in the collection, use or dissemination of information in the system, for example, to consent to collection or specific uses of their information? If no opportunities, please explain why.***

Individuals may request access to information in the system pertaining to them by following the Freedom of Information Act and/or Privacy Act procedures which are available on the Bureau's public-facing website at [www.bop.gov](http://www.bop.gov). The Privacy Act § 552a(e)(3) statement is available on the website.

An individual is not required to file a FOIA or Privacy Act request, but if they file a request and do not provide the requested information, FBOP will be unable to process the request. *See* FBOP FOIA Privacy Act Statement (quoted above in Section 5.1). Requestors are not authorized to limit FBOP's use of any information provided under FOIA. FBOP will only utilize the information as legally appropriate. Records maintained in FOIAXpress, to the extent an individual may consent to use the information provided therein, is subject to the Privacy Act notices related to the information. Some records FBOP maintains are exempted from certain provisions of the Privacy Act and consent is not required to use the records for purposes consistent with the law.

**5.3 *What, if any, procedures exist to allow individuals to gain access to information in the system pertaining to them, request amendment or correction of said information, and receive notification of these procedures (e.g., Freedom of Information Act or Privacy Act procedures)? If no procedures exist, please explain why.***

Individuals may request access to information in the system pertaining to them by following the Freedom of Information Act and/or Privacy Act procedures which are available on the Bureau's public facing website at [www.bop.gov](http://www.bop.gov).

Additional information regarding access to information may be found in the following SORN:

JUSTICE/DOJ-004: Freedom of Information Act, Privacy Act, and Mandatory Declassification Review Records, last published in full at 77 Fed. Reg. 26580 (May 4, 2012).

## **Section 6: Maintenance of Privacy and Security Controls**

**6.1 *The Department uses administrative, technical, and physical controls to protect information. Indicate the controls below. (Check all that apply).***

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|---|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| X | <p><b>The information is secured in accordance with Federal Information Security Modernization Act (FISMA) requirements, including development of written security and privacy risk assessments pursuant to National Institute of Standards and Technology (NIST) guidelines, the development and implementation of privacy controls and an assessment of the efficacy of applicable privacy controls. Provide date of most recent Authorization to Operate (ATO):</b></p> <p>FOIAXpress is operating under the BOPNet ATO, which was approved on 9/22/2020, reauthorized on 12/8/2025, and will expire on 12/8/2028, however, FBOP is working to complete a separate ATO for BOP FOIAXpress (BOP-FOIA).</p> <p><b>If an ATO has not been completed, but is underway, provide status or expected completion date:</b></p> <p><b>Unless such information is sensitive and release of the information could pose risks to the component, summarize any outstanding plans of actions and milestones (POAMs) for any privacy controls resulting from the ATO process or risk assessment and provide a link to the applicable POAM documentation:</b> No outstanding POAMs exist for FOIAXpress.</p>                                                                                                                                                                                                                                                                                                                                                                 |
|   | <p><b>This system is not subject to the ATO processes and/or it is unclear whether NIST privacy controls have been implemented and assessed. Please explain:</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|   | <p><b>This information or information system has been assigned a security category as defined in Federal Information Processing Standards (FIPS) Publication 199, Standards for Security Categorization of Federal Information and Information Systems, based on the information it contains and consistent with NIST SP 800-60 v.2 rev.1, Guide for Mapping Types of Information and Information Systems to Security Categories: Appendices. Specify and provide a high-level summary of the justification, which may be detailed in the system security and privacy plan:</b> FOIAXpress maintains Personal Identity and Authentication and Official Information Dissemination information. If a loss of availability, integrity, or confidentiality regarding this information were to occur, the worst-case scenario would be that individuals may suffer the loss of unauthorized disclosure of information to an outside stakeholder, and/or the FBOP may suffer an adverse effect on public and inmate confidence. Under NIST SP800-60 Volume 2, Rev 1, this information properly falls under General Government and Public Affairs, with default categorization of Moderate, and special factors listed that could result in higher or lower impact level. The special factors listed are: None. Based on the specific facts of this scenario, there are no mitigating or aggravating factors, special factors are not implicated because the information type categorizations held within FOIA are sufficient, resulting in Moderate impact level.</p> |
| X | <p><b>Monitoring, testing, or evaluation has been undertaken to safeguard the information and prevent its misuse. Specify:</b> The application environment and infrastructure include mechanisms to monitor system security which include Identity and Access Management, vulnerability monitoring, and system performance monitoring. Additionally, the environment is under continuous monitoring to safeguard information. Penetration testing of the infrastructure by a FedRAMP certified third party assessment organization is performed as part of the security controls assessment required by the process to obtain an Authority to Operate.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

|   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|---|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| X | <p><b>Auditing procedures are in place to ensure compliance with security and privacy standards. Explain how often system logs are reviewed or auditing procedures conducted:</b></p> <p>User activities and system logs are reviewed on a regular basis to ensure compliance with security and privacy standards.</p>                                                                                                                                                                                           |
| X | <p><b>Contractors that have access to the system are subject to information security, privacy and other provisions in their contract binding them under the Privacy Act, other applicable laws, and as required by DOJ policy.</b></p>                                                                                                                                                                                                                                                                           |
| X | <p><b>Each component is required to implement foundational privacy-related training for all component personnel, including employees, interns, and contractors, when personnel on-board and to implement refresher privacy training annually. Indicate whether there is additional training specific to this system, and if so, please describe:</b> FBOP FOIA employees are given additional training on how to properly handle FOIA and Privacy Act requests, which includes privacy-related requirements.</p> |

**6.2 Explain key privacy and security administrative, technical, or physical controls that are designed to minimize privacy risks. For example, how are access controls being utilized to reduce the risk of unauthorized access and disclosure, what types of controls will protect PII in transmission, and how will regular auditing of role-based access be used to detect possible unauthorized access?**

Data is only accessible to authorized FBOP employees. The FOIAXpress system administrator is responsible for granting access and assigning user roles and privileges to view data based on a user's role assignment. Authorized supervisors within the FBOP's Office of General Counsel must request a user be given access, and the FOIA system administrator will grant access only when access is required for the performance of the user's official duties. Users are trained when initially receiving access to FOIAXpress and on an annual basis thereafter as to avoid erroneous disclosure of information. All FBOP employees are annually trained regarding the handling of sensitive information and information security requirements. All employees who are involved in the management, operation, programming, maintenance, or use of a DOJ information system are made aware of the threats to and vulnerabilities of those systems and their responsibilities with regard to privacy and information security when they complete the DOJ's Rules of Behavior for General Users and annual cybersecurity training.

**6.3 Indicate how long the information will be retained to accomplish the intended purpose, and how it will be disposed of at the end of the retention period. (Reference the applicable retention schedule approved by the National Archives and Records Administration, if available.). If the project involves artificial intelligence and/or machine learning, indicate if the information is used for training AI models, and if so, how this will impact data retention and disposition.**

The system uses optical character recognition (OCR) technology to convert scanned images of text into machine readable text. This enables FBOP employees to complete searches of uploaded PDF documents. This function does not impact data retention for this system.

Records are retained and disposed of in accordance with NARA's General Records Schedules 4.2, Item 020: Information Access and Protection Records. Temporary: Destroy 6 years after final agency action or 3 years after final adjudication by the courts, whichever is later.

## **Section 7: Privacy Act**

**7.1** *Indicate whether information related to U.S. citizens or aliens lawfully admitted for permanent residence will be retrieved by a personal identifier (i.e., indicate whether information maintained by this information technology will qualify as "records" maintained in a "system of records," as defined in the Privacy Act of 1974, as amended).*

\_\_\_\_\_ No.        X   Yes.

**7.2** *Please cite and provide a link (if possible) to existing SORNs that cover the records, and/or explain if a new SORN is being published:*

JUSTICE/DOJ-004: Freedom of Information Act, Privacy Act, and Mandatory Declassification Review Records, 77 Fed. Reg. 26580 (May 4, 2012), available at <https://www.govinfo.gov/content/pkg/FR-2002-09-09/pdf/02-22792.pdf>.

## **Section 8: Privacy Risks and Mitigation**

*When considering the proposed use of the information, its purpose, and the benefit to the Department of the collection and use of this information, what privacy risks are associated with the collection, use, access, dissemination, and maintenance of the information and how are those risks being mitigated?*

**Note:** *When answering this question, please specifically address privacy risks and mitigation measures in light of, among other things, the following:*

- *Specific information being collected and data minimization strategies, including decisions made to collect fewer data types and/or minimizing the length of time the information will be retained (in accordance with applicable record retention schedules),*
- *Sources of the information,*
- *Type of technology employed (e.g. AI/ML),*
- *Specific uses or sharing,*
- *Privacy notices to individuals, and*
- *Decisions concerning security and privacy administrative, technical and physical controls over the information.*

### *a. Potential Risks Related to Information Collection*

Collecting and maintaining more personal information than necessary to accomplish FBOP's official duties is a potential threat to privacy arising from FOIAXpress.

The unnecessary collection of data poses a risk of the loss of personal information for

requestors, FBOP inmates, DOJ employees and contractors, and members of the public. FBOP mitigates this risk by only collecting the minimum amount of information necessary to comply with its statutory and regulatory obligations under FOIA and the Privacy Act. FBOP employees responding to FOIA and Privacy Act requests also complete training on an annual basis that reminds them of how to address requestors with only necessary information and warn them of risks associated with collecting more information than what is required to address requests. Once employees review possibly relevant documents collected to respond to Privacy Act and FOIA requests, the employee is instructed to mark the non-responsive documents in FOIAXpress, which helps reduce exposure of non-responsive information.

Additionally, since FBOP collects a large amount of data to process and respond to FOIA and Privacy Act requests, there is a risk that the information either provided by the individual submitting the request or the information collected within FBOP to respond to the request is inaccurate. FBOP mitigates this risk by requiring annual training (initial or refresh) for employees responding to requests. FBOP ensures that information is verified as accurate throughout the process of responding to requests – intake, verifying the identity of the requestor, and checking the relevancy and responsiveness of the documents in preparation of responding to the request. Again, this information is provided to employees in the annual FOIA training required for FBOP employees responsible for responding to FOIA and Privacy Act requests. Requestors are also able to update inaccurate information via PAL prior to the completion of the request, appeal FBOP's decision based on inaccurate or factual errors after FBOP issues its decision, or submit a Privacy Act amendment request to ensure accurate information.

*b. Potential Risks Related to the Use of Information*

Potential threats to privacy arising from FBOP's use of the information in FOIAXpress include threats to the integrity of the information arising from misuse of information.

To mitigate the possible misuse of FOIAXpress information, FBOP employees are annually trained on how to properly handle sensitive information, and FBOP FOIA employees receive additional FOIA training upon obtaining access to FOIAXpress and annually thereafter. These trainings relay the employees' duties when handling DOJ and FBOP information and emphasize the importance of not editing, manipulating, or deleting the information collected for the purpose of responding to FOIA or Privacy Act requests. Additionally, annual privacy and cybersecurity training, as well as the DOJ's Rules of Behavior for General Users explain to FBOP employees the responsibilities and consequences of misusing data or DOJ systems and how to be aware of and report insider threats. These warnings help mitigate the risk of misuse of FOIAXpress information.

FBOP mitigates the risk of potential misuse of FBOP data within FOIAXpress by vendor personnel by maintaining its implementation within the FBOP firewall. Vendor personnel are not provided access to FBOP data within FOIAXpress and are unable to misuse, modify, or delete information in an unauthorized manner.

*c. Potential Risks Related to the Dissemination of Information*

The risk of unauthorized access is present with operating FOIAXpress. This risk is mitigated by establishing data encryption (as described above) and conducting regular audits of user activities and system administration activities. Data at rest and in transmission, both within and outside the system, is encrypted using the TLS protocol. Data within the system is used and shared only when compatible with the system's authorities and required by the agency's mission.

FBOP also mitigates the risk of unauthorized access by implementing data access controls and user roles which ensures information is provided only to those individuals who require access to perform their official duties. Access to data within FOIAXpress follows "least privilege" principles and is controlled by role management. FBOP requires users to authenticate to the network using multi-factor authentication and second to the application using approved network credentials.

There is an additional privacy risk related to potential unauthorized access when information is shared with external entities or erroneously disclosed. To mitigate this risk, no records are released without being processed and reviewed by an FBOP FOIA employee. All requestors must also complete and provide a signed DOJ Form 361 from the person the records relate to, except for attorney requests for their client/inmate medical records (as discussed in Section 5.1). These internal procedures serve as internal checks to ensure non-responsive information is released and information is not released to the wrong individual.

Additionally, potentially responsive information in FOIAXpress that originated from other DOJ components, external Federal agencies, and State, local, or tribal governments may be transmitted by email for their review and approval or denial prior to disclosure as outlined in Section 4.1. Information is only shared with these entities on a case-by-case basis consistent with applicable Federal and DOJ law and regulation, which the public receives notice of in routine uses identified in system of records notices. All information that is covered by the Privacy Act is disseminated in accordance with the Privacy Act's disclosure rules. Additionally, if shared with non-DOJ entities, Memoranda of Agreements (MOAs) or Understanding (MOUs) restrict use of the data for only authorized purposes and prohibits further redistribution of the data. MOA/MOUs also prescribe the security and privacy requirements of data once it is shared.