

\$215.14

ability to obtain candid and necessary information, to fulfill commitments made to sources to protect the confidentiality of information, to avoid endangering these sources and, ultimately, to facilitate proper selection or continuance of the best applicants or persons for a given position or contract, and to prevent interference with a legitimate, Congressionally sanctioned activity.

(5) The following systems of records are exempt under 5 U.S.C. 552a (k) (5) from the provisions of 5 U.S.C. 552a (c) (3), (d), (e) (1), (e) (4) (G), (H), and (I), and (f):

(i) Employee Conduct and Discipline Records

(ii) Employee Relations Records.

This exemption is claimed for these systems of records to maintain the abil-

ity to obtain candid and necessary information, to fulfill commitments made to sources to protect the confidentiality of information, to avoid endangering these sources and, ultimately, to facilitate proper selection or continuance of the best applicants or persons for a given position or contract. Special note is made of the limitation on the extent to which this exemption may be asserted. The existence and general character of the information exempted will be made known to the individual to whom it pertains.

Effective date. This part becomes effective on September 27, 1975.

Dated: September 26, 1975.

JOHN E. MURPHY,
Acting Administrator.

APPENDIX A.—Agency for International Development, address and locations of offices referenced in the regulations and notices

	Mailing address	Location
I. In the United States:		
OFFICE		
State Department	A.I.D., Washington, D.C. 20523	320 21st St. NW., Washington, D.C.
State Department, Annex 2	do.	515 22d St. NW., Washington, D.C.
State Department, Annex 5	do.	1901 Pennsylvania Ave. NW., Washington, D.C.
State Department, Annex 11	do.	1401 Wilson Blvd., Arlington, Va.
Universal North Building	do.	1975 Florida Ave. NW., Washington, D.C.
Pompeio Plaza Building	do.	1735 North Lynn St., Arlington, Va.
Rosslyn Plaza "E" Building	do.	1621 N. Kent St., Arlington, Va.
Rosslyn Plaza "C" Building	do.	1601 N. Kent St., Arlington, Va.
New Cumberland	A.I.D. Excess Property Division, Building 54-S, New Cumberland Army Depot, New Cumberland, Pa. 17070.	Building 54-S, New Cumberland Army Depot, New Cumberland, Pa. 17070.
II. Abroad:		
MISSION		
Afghanistan	USAID to Afghanistan, c/o American Embassy, Kabul, Afghanistan.	Wazir Abkar Khan Mina, Kabul; Afghanistan.
Bangladesh	USAID, c/o American Embassy, Dacca, Bangladesh.	Adamjee Court Bldg. Montjheel, Dacca, Bangladesh.
Brazil	USAID to Brazil, CAIZA Postal 14-2324, Brasilia D.F., Brazil.	Ed. Bandeirantes, SCS Q. 17, Lote 2/5, Brasilia, Brazil.
British Honduras	American Consulate, Belize City, British Honduras.	Gabriel Lane and Hutson St., Belize City, Belize.
Bolivia	USAID to Bolivia, c/o American Embassy, La Paz, Bolivia.	383 Almirante Grau St., La Paz, Bolivia.
Chad	Country Development Officer, c/o American Embassy, N'Djamena, Chad.	Rue du Lt. Col. Colenga d'Ornano, N'Djamena, Chad.
Cameroon	Area Development Office, c/o American Embassy, Yaounde, Cameroon.	Rue Nechtikal, Yaounde, Cameroon.
Chile	USAID to Chile, c/o American Embassy, Santiago, Chile.	Avenida B. O'Higgins No. 1146, Santiago, Chile.
Colombia	USAID to Colombia, c/o American Embassy, Bogota, Colombia.	Carrera 10 Nr 28-49, Bogota, Colombia.
Costa Rica	Office of AID Affairs, c/o American Embassy, San Jose, Costa Rica.	Avenida 3 Calle 1, San Jose, Costa Rica.
Dominican Republic	USAID to Dominican Republic, c/o American Embassy, Santo Domingo, Dominican Republic.	Calle Cesar Nicolas Penson and Calle, Leopoldo Navarro, Santo Domingo, Dominican Republic.
Ecuador	USAID to Ecuador, c/o American Embassy, Quito, Ecuador.	120 Avenida Patria, Quito, Ecuador.
Egypt	USAID, American Embassy, Cairo, Egypt.	5 Sharia Latin America, Cairo, Egypt.
El Salvador	USAID to El Salvador, c/o American Embassy, San Salvador, El Salvador.	No. 1220, 25 Avenida Norte, San Salvador, El Salvador.
Ethiopia	USAID to Ethiopia, c/o American Embassy, Addis Ababa, Ethiopia.	Crown Prince Asfaw Wossen St., Addis Ababa, Ethiopia.
France	U.S. Mission to the OECD, c/o American Embassy, Paris, France.	13 Villa Croix Nivert, Paris, France.
Ghana	USAID, P.O. Box 1630, Accra, Ghana.	Liberia and Rowe Roads, Accra, Ghana.
Guatemala	USAID/ROCAP, c/o American Embassy, Guatemala City, Guatemala.	USAID/ROCAP, 7-80, 8th St., Zone 9, Guatemala City, Guatemala.
Guyana	USAID to Guyana, c/o American Embassy, Georgetown, Guyana.	85 Main St., Georgetown, Guyana.
Haiti	Office of AID Representative, American Embassy, Port au Prince, Haiti.	American Embassy, Harry Truman Blvd., Port au Prince, Haiti.
Honduras	USAID to Honduras, c/o American Embassy, Tegucigalpa, Honduras.	Avenida La Paz, Tegucigalpa, Honduras.
Iceland	American Embassy, Reykjavik, Iceland.	Laufasvegur 21, Reykjavik, Iceland.
India	USAID to India, c/o American Embassy, New Delhi, India.	Shanti Path, Chanakynpuri 21, New Delhi, India.
Indonesia	USAID to Indonesia, c/o American Embassy, Jakarta, Indonesia.	Medan Merdeka, Selatan 5, Jakarta, Indonesia.

PAGE NO. 12B-6	EFFECTIVE DATE September 27, 1975	TRANS. MEMO NO. 18-III:1	AID HANDBOOK 18, Part III
-------------------	--------------------------------------	-----------------------------	---------------------------

§215.14

	Mailing address	Location
Italy.....	American Embassy, Rome, Italy	Via Veneto 119, Rome, Italy.
Ivory Coast.....	Regional Economic Development Services Offices/West Africa, c/o American Em- bassy, Abidjan, Ivory Coast.	5, Rue Jesse Owens, Abidjan, Ivory Coast.
Jamaica.....	Office of AID Affairs, c/o American Em- bassy, Kingston, Jamaica.	American Embassy, 43 Duke St., Kingston, Jamaica.
Jordan.....	American Embassy, Amman, Jordan.	Jebel Amman, Amman, Jordan.
Kenya.....	USAID to Kenya, P.O. Box 30261, Nairobi, Kenya.	Cotts House, Elliot St., Nairobi, Kenya.
Korea.....	USAID to Korea, c/o American Embassy, Seoul, Korea.	New Seoul Bldg. 1503 62-7, 2-KA, Chungmu- Ro; Chung-Ku, Seoul, Korea.
Lebanon.....	AID Regional Training Office, c/o Ameri- can Embassy, Beirut, Lebanon.	Corniche at Rue Aliv Mreisseh, Beirut, Lebanon.
Liberia.....	USAID, P.O. Box 1445, Monrovia, Liberia.	United Nations Dr., Monrovia, Liberia.
Mali.....	Country Development Officer, c/o Ameri- can Embassy, Bamako, Mali.	Rue Testard and Rue Mohamed V, Bamako, Mali.
Mauritania.....	Country Development Officer, c/o Ameri- can Embassy, Nouakchott, Mauritania.	American Embassy, Nouakchott, Mauri- tania.
Mexico.....	Office of AID Affairs, c/o American Em- bassy, Mexico D.F. Mexico.	Cor. Danubio and Paseo de la Reforma, 305, Colonia Cuauhtemoc, Mexico D.F. Mexico.
Morocco.....	USAID to Morocco, c/o American Embassy, Rabat, Morocco.	2 Ave. de Marrakech, Rabat, Morocco.
Nepal.....	USAID to Nepal, c/o American Embassy, Kathmandu, Nepal.	Rabi Bhawan, Kathmandu, Nepal.
Nicaragua.....	USAID to Nicaragua, c/o American Em- bassy, Managua, Nicaragua.	Boulevard Somoza, Managua, Nicaragua.
Niger.....	Area Development Office, c/o American Embassy, Niamey, Niger.	Yantala Road, Niamey, Niger.
Nigeria.....	USAID to Nigeria, c/o American Embassy, Lagos, Nigeria.	1/3 Moloney St., Lagos, Nigeria.
Pakistan.....	USAID, P.O. Box 1028, Islamabad, Paki- stan.	Diplomatic Enclave, Ramna 4, Islamabad, Pakistan.
Panama.....	USAID to Panama, c/o American Em- bassy, Panama City, Panama.	USAID Main Bldg., Cemento Panama Bldg., Manuel Espinosa Ballista, Panama City, Panama.
Paraguay.....	USAID to Paraguay, c/o American Em- bassy, Asuncion, Paraguay.	390 Kubitschek, Asuncion, Paraguay.
Peru.....	USAID to Peru, c/o American Embassy, Lima, Peru.	Av. Espana 386, Lima, Peru.
Philippines.....	USAID to the Republic of the Philippines, c/o American Embassy, Manila, Philip- pines.	1680 Roxas Blvd., Manila, Philippines.
Portugal.....	American Embassy, Lisbon, APO New York 0978.	Avenida Duque de Loule No. 39, Lisbon, Portugal.
Puerto Rico.....	c/o Assistant Secretary, International Ex- change, Department of State, Common- wealth of Puerto Rico, San Juan, Puerto Rico.	OTC, San Juan, Puerto Rico.
Senegal.....	Area Development Office, c/o American Embassy, Dakar, Senegal.	BIAO Building, Place de l'Independance, Dakar, Senegal.
Sri Lanka.....	Office of AID Representative, c/o American Embassy, Colombo, Sri Lanka.	41 Galle Road, Colpetty, Colombo, Sri Lanka.
Sudan.....	AID Affairs Office, c/o Embassy of the Netherlands, Khartoum, Sudan.	Gambouria Ave., Khartoum, Sudan.
Swaziland.....	Office of Southern African Regional Activ- ities, Coordination/Mbabane, c/o Ameri- can Embassy, Mbabane, Swaziland.	OSA RAC-Hdqs, 218 Gillfillan St., Mbabane, Swaziland.
Switzerland.....	U.S. Mission to International Organization, c/o Amemb. Geneva, Switzerland.	80 Rue de Lausanne, Geneva, Switzerland.
Syria.....	Office of A.I.D. Representative, c/o Ameri- can Embassy, Damascus, Syria Arab Republic.	Chare (Ave.) Al-Mansour, Abu, Rummanih, Damascus, Syria.
Taiwan.....	Office of AID Affairs, c/o American Em- bassy, Taipei, Taiwan.	No. 2 Chung Hsiao West Road, Second Section, Taipei, Taiwan.
Tanzania.....	USAID to United Republic of Tanzania, c/o American Embassy, Dar es Salaam, Tanzania.	National Bank of Commerce Bldg. on City Drive, Dar es Salaam, Tanzania.
Thailand.....	USOM, c/o American Embassy, Bangkok, Thailand.	93 Wireless Road, Bangkok, Thailand.
Togo.....	Area Development Officer, c/o American Embassy, Niamey, Niger.	Rue Pelletier Cavenot and rue Vauban, Lome, Togo.
Tunisia.....	USAID to Tunisia, c/o American Em- bassy Tunis, Tunisia.	149 Avenue de la Liberte, Tunis, Tunisia.
Turkey.....	USAID, PK 39, Cankaya, Ankara, Turkey.	Cinnah Caddesi, No. 16, Ankara, Turkey.
Upper Volta.....	AID Country Development Officer, c/o American Embassy, Ouagadougou, Upper Volta.	Boite Postale 35, Ouagadougou, Upper Volta.
Uruguay.....	Office of AID, Representative/Monteideo, c/o American Embassy, Montevideo, Uruguay.	Lauro Muller 1776, Montevideo, Uruguay.
Yemen.....	Office of AID Affairs, c/o American Em- bassy, Sana, Yemen Arab Republic.	American Embassy, Sana, Yemen Arab Republic.
Zaire.....	USAID to Republic of Zaire, c/o American Embassy, Kinshasa, Republic of Zaire.	310 Ave. des Artateurs, Kinshasa, Zaire.

AID HANDBOOK 18, Part III	TRANS. MEMO NO. 18-III:6	EFFECTIVE DATE September 20, 1977	PAGE NO. 12C-1
---------------------------	-----------------------------	--------------------------------------	-------------------

APPENDIX 12C

There follows below the text of the Privacy Act of 1974 Systems of Records; Annual Publication, dated September 20, 1977, as published in the Federal Register of September 20 1977 (42 F.R. 47271 47271)

AGENCY FOR INTERNATIONAL DEVELOPMENT

PRIVACY ACT OF 1974

Systems of Records; Annual Publication

Pursuant to 5 U.S.C., 552a(e)(4), the Privacy Act of 1974, the Agency for International Development hereby publishes its systems of records as presently maintained. The systems were originally published at 40 FR 39463 (Aug. 27, 1975) and amended at 40 FR 45768 (Oct. 2, 1975) and 40 FR 51174 (Nov. 3, 1975). Additional amendments were proposed in the Agency's annual publication at 41 FR 38900 (Sept. 13, 1976). As a result of subsequent comments received from the U.S. Department of Labor, additional routine uses were proposed at 42 FR 31511 (June 21, 1977). A relocation of some systems was published at 42 FR 31511 (June 21, 1977). Additional amendments were proposed at 42 FR 37084 (July 19, 1977) and 42 FR 40302 (Aug. 9, 1977). The prior notification requirement (552a(e)(11)) was waived for the August 9, 1977, publication.

Changes in this publication include deletions which referenced medical records, which are no longer a part of our systems of records, and language added for clarification purposes.

John J. Gilligan,
Administrator.

Alphabetical Listing of Systems of Records

SYSTEM OF RECORD

Attendance and Leave Reporting Records - AID-16
Awards and Incentives Records - AID-14
Civil Service Employee Office Personnel Records - AID-2
Claims Records - AID-20
Congressional Relations, Inquiries, and Travel Records - AID-22
Criminal Law Enforcement Records - AID-9
Emergency Case File - AID-24
Employees Automated Records - AID-3
Employee Conduct and Discipline Records - AID-11
Employees' Equal Employment Opportunity Complaint Investigative Records - AID-23
Employee-Owned or -Leased Property Records - AID-17
Employees Payroll Records - AID-15
Employee Relations Records - AID-10
Employee Use of Property Owned or Leased by the U.S. Government Records - AID-18
Executive Assignment Records - AID-12
Foreign Service Employee Personnel Records - AID-1
Foreign Service Personnel Evaluation Records - AID-7
Litigation Records - AID-26
Orientation and Training Records - AID-13
Personnel Security and Suitability Investigative Records - AID-8
Position Classification Records - AID-4
Privacy Act Implementation Records - AID-25
Public Information Records - AID-21
Recruiting, Examining, and Placement Records - AID-6
Reserved - AID-5
Travel and Transportation Records - AID-19
(Appendix A to 22 CFR, Part 215 - Regulation, Agency for International Development Addresses and Locations of Offices Referenced in the Regulations and Notices is hereby incorporated by reference into this Notice as Appendix A hereto.)

Statement of General Routine Uses

The following routine uses apply to, and are incorporated by reference into each system of records set forth below to the extent therein applicable:

1. In the event of an indication of a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by statute or particular program pursuant thereto, a record in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. A record from this system of records may be disclosed, as a routine use, to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information if necessary to obtain information relevant to an

Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the approval of a grant or other benefits.

3. A record from this system of records may be disclosed, as a routine use, to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, approval of a grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

5. A record from this system of records may be disclosed, as a routine use, to the Department of State and its posts abroad for the purpose of transmission of information between organizational units of the Agency, or for purposes related to the responsibilities of the Department of State in conducting United States foreign policy or protecting United States citizens, such as the assignment of employees to positions abroad, the reporting of accidents abroad, evacuation of employees and dependents, and other purposes for which officers and employees of the Department of State have a need for the records in the performance of their duties.

6. A record from this system of records may be disclosed, as a routine use, to a foreign government or international agency in response to its request for information to facilitate the conduct of U.S. relations with that government or agency through the issuance of such documents as visas, country clearances, identification cards, drivers' licenses, diplomatic lists, licenses to import or export personal effects, and other official documents and permits routinely required in connection with the official service or travel abroad of the individual and his or her dependents.

7. A record from this system of records may be disclosed, as a routine use, to Federal agencies with which the Agency has entered into an agreement to provide services to assist the Agency in carrying out its functions under the Foreign Assistance Act of 1961, as amended. Such disclosures would be for the purpose of transmission of information between organizational units of the Agency; of providing to the original employing agency information concerning the services of its employee while under the supervision of the Agency, including performance evaluations, reports of conduct, awards and commendations, and information normally obtained in the course of personnel administration and employee supervision; or of providing other information directly related to the purposes of the inter-agency agreement as set forth therein, and necessary and relevant to its implementation.

8. A record from this system of records may be disclosed, as a routine use, to a Member of Congress or a Congressional staff representative of the Member in response to an inquiry from a Member made at the request of an individual.

9. A record in those systems of records which contains medical information may be disclosed, as a routine use, to the medical adviser of any individual submitting a request for access to the record under the Act and 15 CFR Part 4b if, in the sole judgment of the Agency, disclosure could have and adverse effect upon the individual, under the provision of 5 U.S.C. 552a(f)(3) and implementing regulations at 15 CFR 4b.6.

10. A record contained in this system of records may be disclosed, as a routine use, to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

11. A record from this system of records may be disclosed, as a routine use, to the Foreign Service Grievance Board in the course of the Board's consideration of matters properly before it.

A.I.D. - 1

System name: Foreign Service Employee Personnel Records.

System location: Washington offices and offices of assignment abroad as listed in Appendix A.

Categories of Individuals covered by the system: Present and former A.I.D. Foreign Service employees and employees of other U.S. Agencies detailed to A.I.D.

Categories of records in the system: This system includes (a) central records consisting of official personnel folders and (b) decentralized records consisting of office copies of official documents and papers. Records are comprised of documents in the following

PAGE NO. 12C-2	EFFECTIVE DATE September 20, 1977	TRANS. MEMO NO. 18-III:6	AID HANDBOOK 18, Part III
-------------------	--------------------------------------	-----------------------------	---------------------------

PRIVACY ACT ISSUANCES

categories: Biographic Data; assignment and reassignment orders; notification of personnel actions; travel arrival and departure notices; time and attendance cards; requests for security clearances and building passes; nominations and host country clearances, position descriptions; staffing and workload information; home, family, and emergency location information; records of language proficiency; records of security clearances; performance evaluations; individual assignment rating sheets; earning statements; compensations, awards, and leave information; copies of power of attorney granted by the individual; education and training information; delegations of authority; reports of accomplishments; commendations; health and medical record abstracts; accident or incident reports; reprimands and disciplinary actions; complaints and grievances; documents pertaining to fiscal, property, and transportation matters; foreign office notes and official correspondence; permits and authorizations of foreign governments; health and life insurance plans; and correspondence pertaining to the individual.

Authority for maintenance of the system: Foreign Assistance Act of 1961 as amended, Sec. 621, 625, 626, 627, 628, and 636 (b); Foreign Service Act of 1946 as amended, U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To Foreign Governments, international organizations, and U.S. and Foreign Firms for employment or employee exchange.

To Financial and Credit Institutions for loan and credit reference purposes solely to verify the employee's name, employment with A.I.D., dates of employment and pay grade.

To other Federal Agencies and private firms for placement under exchange programs.

To officials of the Department of State serving as the employee's supervisor for performance evaluation and review.

To representatives of the Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of A.I.D. personnel management programs, of personnel actions, or such other matters under the jurisdiction of the Commission.

To representatives of the Civil Service Commission for the maintenance of their Central Personnel Data File, Federal Automated Career System, and Executive Inventory File.

To the Attorney General of the United States or his authorized representative in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice, or carried out as the legal representative of the executive agencies.

To a duly appointed hearing examiner or arbitrator (an employee of another federal agency) for the purpose of conducting a hearing in connection with an employee's appeal involving disclosures of records of A.I.D.'s personnel management system.

To an arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving disclosure of records of the personnel management system.

To officials of labor organizations recognized under Executive Orders 11636 and 11491, as amended, when relevant and necessary to their duties of exclusive representation under the Orders, and to include data such as veteran preference status, tenure, salaries, grades, positions titles, duty stations, agency-sponsored training and awards received, notices of reduction in force, job-related injury, and personnel actions, when such information is relevant to personnel policies and practices affecting employment conditions and necessary for exclusive representation by the labor organization. Wherever feasible and consistent with responsibilities under the orders, such information shall be furnished in depersonalized form, i.e., without personal identifiers.

To state employment security agencies and to the U. S. Department of Labor, upon request, employment, wage and separation data of former AID employees, to determine eligibility for unemployment compensation.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, and for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of employee.

Safeguards: Located in metal file cabinets with three-way combination lock in secured premises with access limited to those whose official duties require access.

Retention and disposal: Retention of these records varies from 1 to 75 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with General Records Schedules issued by the National Archives and Records Service and approved records control schedules of the Agency for International Development.

System manager(s) and address: Chief, Foreign Service Personnel, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street, N.W., Washington, D.C. 20523.

Administrative Officer or Executive Officer of the employing office or Mission as listed in Appendix A.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director

Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street, N.W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec.215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same address as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: Provided by the individual, by officers and employees of A.I.D. in the performance of their official duties, by United States and foreign civil authorities, by educational institutions, private persons and companies and produced in the course of normal personnel administration operations of the Agency.

A.I.D. - 2

System name: Civil Service Employee Office Personnel Records.

System location: Washington offices and, when a Civil Service employee is assigned overseas, at offices of assignment abroad as listed in Appendix A.

Categories of individuals covered by the system: Present and former A.I.D. Civil Service employees, consultants, experts; persons under contract to A.I.D.; other U.S. Government Agency personnel employed by A.I.D.; advisers to A.I.D.

Categories of records in the system: In addition to central records in the custody of A.I.D. but officially 'maintained' by the Civil Service Commission the Agency maintains personnel records which may be comprised of any of the following categories of documents: Biographic data; assignments and reassignment orders; notification of personnel actions; travel arrival and departure notices; time and attendance cards; requests for security clearances and building passes; nominations and host country clearances; position descriptions; contracts when individuals are employed under a contract; staffing and workload information; home, family, and emergency location information; records of language proficiency; performance evaluations; earning statements; compensation awards, and leave information; copies of power of attorney granted by individual; education and training information; delegations of authority; reports of accomplishments; commendations; accident or incident reports; reprimands and disciplinary actions; complaints and grievances;

AID HANDBOOK 18, Part III	TRANS. MEMO NO. 18-III:6	EFFECTIVE DATE September 20, 1977	PAGE NO. 12C-3
---------------------------	-----------------------------	--------------------------------------	-------------------

AGENCY FOR INTERNATIONAL DEVELOPMENT

documents pertaining to fiscal, property, and transportation matters; correspondence pertaining to the individual; and health and life insurance plans.

Authority for maintenance of the system: Foreign Assistance Act of 1961 as amended, Sec. 621, 625, 626, 627, 628 and 636 (d); Foreign Service Act of 1946, as amended, Sec. 911; 5 U.S.C. 301, 1301, 1302, Authority to establish and maintain files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To Foreign Governments and U.S. and Foreign firms for employment purposes.

To Financial and Credit Institutions for loan and credit reference purposes solely to verify the employee's name, employment with A.I.D., dates of employment and pay grade.

To other Federal Agencies and private firms for placement under exchange programs.

To officials of the Department of State serving as the employee's supervisor for performance evaluation and service.

To representatives of the Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of A.I.D. personnel management programs, of personnel actions, or such other matters under the jurisdiction of the Commission.

To representatives of the Civil Service Commission for the maintenance of their Central Personnel Data File, Federal Automated Career System, and Executive Inventory File.

To the Attorney General of the United States or his authorized representative in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice, or carried out as the legal representative of the executive agencies.

To a duly appointed hearing examiner or arbitrator (an employee of another federal agency) for the purpose of conducting a hearing in connection with an employee's appeal involving disclosures of records of A.I.D.'s personnel management system.

To an arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving disclosure of records of the personnel management system.

To officials of labor organizations recognized under Executive Orders 11636 and 11491, as amended, when relevant and necessary to their duties of exclusive representation under the Orders, and to include data such as veteran preference status, tenure, salaries, grades, position titles, duty stations, agency-sponsored training and awards received, notices of reduction in force, job-related injury, and personnel actions, when such information is relevant to personnel policies and practices affecting employment conditions and necessary for exclusive representation by the labor organization. Wherever feasible and consistent with responsibilities under the orders, such information shall be furnished in depersonalized form, i.e., without personal identifiers.

To state employment security agencies and to the U. S. Department of Labor, upon request, employment, wage and separation data of former AID employees, to determine eligibility for unemployment compensation.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folder.

Retrievability: By name of employee, consultant, expert, contractor, and adviser.

Safeguards: Located in metal file cabinets with three-way combination lock in secured premises with access limited to those whose official duties require access.

Retention and disposal: Retention of these records varies from 1 to 75 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with General Records Schedules issued by the National Archives and Records Service and approved records control schedules of the Agency for International Development.

System manager(s) and address: Chief, Civil Service Personnel, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street, N. W. Washington, D.C. 20523.

Administrative Officer or Executive Officer of the employing office or Mission as listed in Appendix A.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director

Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street, N. W. Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: Provided by the individual, by officers and employees of A.I.D. in the performance of their official duties, by United States and foreign civil authorities, by educational institutions, private persons and companies and produced in the course of normal personnel administration operations of the Agency.

A.I.D. - 3

System name: Employees Automated Records.

System location: Office of Data Management, Agency for International Development, 1975 Florida Avenue, Washington, D.C.

Categories of individuals covered by the system: a. A.I.D. Employees including: Direct-hire employees assigned positions in the United States; United States citizen direct-hire employees assigned to positions overseas; and employees of Federal, state, or local government agencies detailed or assigned to A.I.D.; and

b. Applicants for employment.

Categories of records in the system: This automated system consists of ten files of computerized records maintained on magnetic discs and magnetic tapes. These files are described below. The first seven (a through g) and the tenth (j) pertain to the category of individuals defined in a. above; the eighth (h) pertains only to the category of individuals defined in b. above; the ninth file (i) is maintained separately from the other eight files.

a. Master Data File - This file contains information about the organizational structure of the Agency, and the location within that structure of all employees. Individual records, in addition to containing data describing the position incumbent by the employee, contain the following types of information on the employee: basic data such as name, Social Security Account Number (SSAN), birth date, veteran preference, tenure group, service computation date, reportable handicap, retirement system, and participation in Federal Employee Government Life Insurance; pay data such as pay plan, grade or class, step within grade, date appointed to present grade, and work schedule; personal data supplied by the employee such as sex, marital status, state of legal residence, and academic education level; data on retirement from a uniformed service, if applicable; a wide variety of dates including those that indicate suspense actions which are due at the future date, and others used for other purposes by personnel managers such as date assigned overseas and date returned from overseas; for Civil Service and Foreign Service employees their evaluation rating and the date of their last evaluation; qualifications and skills data such as college degrees, special prior experience, training courses completed, proficiency in foreign languages, and skills of use to the Agency.

PAGE NO. 12C-4	EFFECTIVE DATE September 20, 1977	TRANS. MEMO NO. 18-III:6	AID HANDBOOK 18, Part III
-------------------	--------------------------------------	-----------------------------	---------------------------

PRIVACY ACT ISSUANCES

b. A Chronological Data Record is maintained on each employee and contains up to ten entries reflecting the most recent 'personnel actions' on that individual, such as appointment, conversion, reassignment, transfer, promotion, extension, and separation. Included for each entry is the type of action code and title, effective date, position assigned to, including position title, and employee's pay plan and grade at the time.

c. Separated Employee File - For employees who have been separated, a record is maintained, made up of the employee data in the Master Data Record and the Chronological Data Record as described in a. and b. above. This record is maintained for three years after date of separation.

d. Index File - This file contains a record for each employee, but contains only the SSAN and the Position Sequence Number of the position to which the employee is assigned. It is used to find the employee's Master Data Record when only the SSAN is known.

e. Turnaround File - This file contains only records generated by the computer and is used by the computer to update the Master Data and Chronological Record files on future effective personnel actions. It is also used by the process that prints the Standard Form 50, Report of Personnel Actions.

f. SF-50 File - This file contains data that was used in printing the Standard Form 50 and is retained for 90 days in the event the Standard Form 50 requires correction or cancellation. It contains basic data on the employee and personnel action being effected by the Standard Form 50.

g. Transaction History File - This file contains a record on each file maintenance transaction input into the computer that passed computer program edits and is used in maintaining system files.

h. Applicant Data File - This file contains name, SSAN, veteran preference, and qualification data supplied by the applicant.

i. Minority Group Designator File - This file contains SSAN and a minority code designator used in preparing reports required by the Equal Employment Opportunity Act of 1972.

j. The Equal Opportunity Program Extract File - This file contains information from the Master Data File and the Minority Group Designator File and consists of the following: position number; position title; occupational specialty code; position pay plan; position grade; GSA location code; employee name; SSAN; sex; employee pay plan; employee grade; employee step; minority group designator; work schedule; current civil service performance rating; date of last civil service performance rating; supervisory code; age; date of birth; handicap code; date appointed present grade; incumbent assigned date; date entered on duty with AID or predecessor; academic education level; degree Majors 1, 2 and 3; Agency occupational special ties 1, 2 and 3; Veteran's Preference.

Authority for maintenance of the system: Title 5 U.S.C., Sec. 301, 1302, 2951, 4118, 4308; Foreign Assistance Act of 1961, as amended, Sec. 621, 621A, 625, 626, 627, 628; Foreign Service Act of 1946, as amended, Sec. 911.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To representatives of the Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of A.I.D. personnel management programs, of personnel actions, or such other matters under the jurisdiction of the Commission.

To representatives of the Civil Service Commission for the maintenance of their Central Personnel Data File, Federal Automated Career System, and Executive Inventory File.

To the Attorney General of the United States or his authorized representative in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice, or carried out as the legal representative of the executive agencies.

To the Chesapeake and Potomac Telephone Co. (a contractor) and its employees for the purpose of telecommunications transmission of data between the central computer facility and the remote terminals.

To a duly appointed hearing examiner or arbitrator (an employee of another federal agency) for the purpose of conducting a hearing in connection with an employee's appeal involving disclosures of records of A.I.D.'s personnel management system.

To an arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving disclosure of the record of the personnel management system.

To the recognized labor union for the purposes of meeting the requirements of the negotiated agreement.

To representatives of the Department of Health, Education and Welfare for the purpose of producing microfiche and microfilm outputs.

To the Department of State for the purposes of producing microfiche and microfilm outputs.

To the Department of the Treasury and the Department of State for the purpose of providing special reports pertaining to AID employees in the Foreign Service Retirement and Disability System.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Records are stored on magnetic disc and/or magnetic tape.

Retrievability: The ten files described above are indexed in the following manner and may be retrieved as indicated; however, personal data in all files are readily retrieved through the Index File. (a) Master Data File: by Position Sequence Number. (POSNO) within A.I.D.;

(b) Chronological Data File: by Social Security Account Number (SSAN)

(c) Separated Employee File: by SSAN;

(d) Index File: by SSAN;

(e) Turnaround File: by effective date

(f) SF-50 File: by effective date;

(g) Transaction History File: by date of input to the system or effective date, whichever is later; and

(h) Applicant Data File: by SSAN.

(i) Minority Group Designator File: by SSAN.

(j) Equal Opportunity Program Extract File: by Position Sequence Number. (POSNO) within A.I.D.

Safeguards: A 'password' is assigned to A.I.D. employees who, in the performance of their official duties, must have access to these files. The password is checked by the computer prior to granting access to the files. The computer facility, including the time library, is located in secured premises with combination-lock door, and access is limited to persons of verified identity who require access.

Retention and disposal: The computerized records are deleted from the files when no longer needed by the system. A copy of the content of all files is made at the end of June and December and is retained for five years, then destroyed.

System manager(s) and address: Chief, Systems Design Branch, Policy Development Division, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street N.W., Washington, D.C. 20523.

For the Minority Group code designator, the Director, Equal Opportunity Programs, Agency for International Development, 320 21st Street, N.W., Washington, D.C. 20523.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director
Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N.W., Washington, D.C. 20523.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's rules as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same address as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator
Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

AID HANDBOOK 18, Part III	TRANS. MEMO NO. 18-III:6	EFFECTIVE DATE September 20, 1977	PAGE NO. 12C-5
---------------------------	-----------------------------	--------------------------------------	-------------------

AGENCY FOR INTERNATIONAL DEVELOPMENT

ATTENTION: Executive Secretary - Privacy Review Request.
Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities in approving personnel actions and verifying information.

A.I.D. - 4

System name: Position Classification Records.

System location: Office of Personnel and Manpower, State Annex 2, 515 22nd Street N. W., Washington, D.C. 20523.

Categories of individuals covered by the system: Employees of A.I.D.

Categories of records in the system: Position descriptions, appeals, correspondence relating to position classification, reviews of classifications and the determinations made thereon, and Notifications of Personnel Actions (SF-50's) relating to the position.

Authority for maintenance of the system: The Foreign Assistance Act of 1961, as amended Sec. 621 and the Foreign Service Act of 1946 as amended; 5 U.S.C., Sec. 301, 1302, 2951, 4118, 4308, and Executive Orders 10561 and 10987.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copies in file folders.

Retrievability: Name of individual.

Safeguards: Located in metal file cabinets with three-way combination locks in a secure space or secured premises with access limited to those whose official duties require access.

Retention and disposal: Retained by A.I.D. as long as five years (in case of appeals against position classification actions), then destroyed by shredding.

System manager(s) and address: For Civil Service personnel: Chief, Civil Service Personnel, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street N. W., Washington, D.C. 20523.

For Foreign Service personnel: Chief, Position Management & Foreign National Branch, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street N. W., Washington, D.C. 20523.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director

Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N. W., Washington, D.C. 20523.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed to:

Administrator

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.
Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities.

A.I.D. - 5

Reserved.

A.I.D. - 6

System name: Recruiting, Examining and Placement Records.

System location: Records are maintained in various offices in Washington and abroad that have responsibility for recruiting candidates for employment. See Appendix A for actual location of these offices.

Categories of individuals covered by the system: Individuals who have applied to the Agency for employment or employees who have requested outplacement assistance.

Categories of records in the system: In addition to central records maintained by A.I.D. but under the control of the Civil Service Commission, the Agency also maintains information relating to the education and training; employment history and earnings; appraisal of past performance; convictions of offenses against the law; results of written tests; appraisal of potential; honors, awards or fellowships; military service; veteran preference; birthplace; birth date; Social Security number; and home address.

Authority for maintenance of the system: The Foreign Assistance Act of 1961, as amended; the Foreign Service Act of 1946; 5 U.S.C., Sec. 301, 1302, 3301, 3302, 3304, 3306, 3307, 3309, 3313, 3317, 3318, 3319, 3349, 4103, 5532, 5533, 5723; and Executive Orders 10577 and 11103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To prospective employees (Universities, State, and Local Governments, private enterprises, United Nations and other international organizations, foreign governments, and governments of the territories of the U.S.) for purposes of proposing A.I.D. employees who have requested placement assistance for positions outside the Agency.

To law enforcement agencies, U.S. Government agencies, courts the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual.

Safeguards: Located in metal file cabinets with three-way combination lock in secured premises with access limited to those whose official duties require access.

Retention and disposal: Kept from 6 months to 5 years depending upon need; disposed of by shredding or burning.

System manager(s) and address: Chief, Recruitment Staff, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street N. W., Washington, D.C. 20523.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director

Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N. W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

PAGE NO. 12C-6	EFFECTIVE DATE September 20, 1977	TRANS. MEMO NO. 18-III:6	AID HANDBOOK 18, Part III
-------------------	--------------------------------------	-----------------------------	---------------------------

PRIVACY ACT ISSUANCES

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.
Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities; previous employers, personal references provided by the individual; and educational institutions.

A.I.D. - 7

System name: Foreign Service Personnel Evaluation Records.

System location: Evaluation files are kept in the Office of Personnel and Manpower, 515 22nd Street N. W., Washington, D.C. 20523.

Categories of individuals covered by the system: Foreign Service Reserve Officers and Staff of A.I.D.

Categories of records in the system: Employee's name, date of birth, entry on duty in Foreign Service, Social Security number, name of evaluation panel, employee backstop code, panel determination and comments, relative ranking of employee, employee data record print, and personal evaluation reports.

Authority for maintenance of the system: Foreign Assistance Act of 1961 as amended, Sec. 625(d) and (c); Foreign Service Act of 1946 as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To representatives of the Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of A.I.D. personnel management programs, of personnel actions, or such other matters under the jurisdiction of the Commission.

To a duly appointed hearing examiner or arbitrator (an employee of another federal agency) for the purpose of conducting a hearing in connection with an employee's appeal involving disclosures of records of A.I.D.'s personnel management system.

To an arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving disclosure of records of the personnel management system.

To the recognized labor union for the purpose of meeting the requirements of the negotiated agreement.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy filed in folders.

Retrievability: By name of individual.

Safeguards: Located in metal cabinets with three-way combination lock in a secured area. Access is to those whose official duties require access.

Retention and disposal: Destroyed by burning five years after employee separates.

System managers and address: Chief, Personnel Information Center (PM/PO/PIC), Agency for International Development, 515 22nd Street N. W., Washington, D. C. 20523.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director
Office of Personnel and Manpower (SER/PM)
Attn: Privacy Liaison Officer
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N. W., Washington, D.C. 20523.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec.215.4(c) or (d) of the Agency's regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same address as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.
Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities.

A.I.D. - 8

System name: Personnel Security and Suitability Investigations Records.

Security classification: Secret.

System location: a. Central file: Office of Security, 1621 North Kent Street, Arlington, Virginia.

b. Working files are maintained in various offices in Agency Washington Headquarters and in missions abroad, See Appendix A for actual locations.

c. Retired files are maintained in the Washington National Records Center, 4205 Suitland Road, Suitland, Maryland.

Categories of individuals covered by the system: Present and former employees, including full and part-time, "When Actually Employed" (WAE), "Without Compensation" (WOC), intermittent, experts and consultants; current and former applicants for employment; Americans currently or formerly employed under contract; applicants for contract; certain contractors and contractor personnel; individual names not included in the above categories are also cross-indexed in security files when significantly involved in security-related investigations; and individuals currently and formerly employed under Participating Agency Service Agreements (PASA) or Interagency Personnel Act (IPA) or other authority.

Categories of records in the system: Employee identification cards and photographs; reports of investigations conducted by A.I.D. and by other government agencies; interoffice and intraoffice correspondence, memoranda and reports; correspondence and memoranda originated by other elements of A.I.D., Federal agencies and other governmental entities (i.e., state and local), corporate and private entities, and by individuals. Additionally, records are maintained of security violations and consequent recommendations for disciplinary action. The system contains reports of briefings and debriefings of employees.

Authority for maintenance of the system: Foreign Assistance Act of 1961, as amended, Sec. 635(b), 5 U.S.C. Sec. 7531 and 7532; Act of August 26, 1950, 64 Stat. 476; and Executive Order 10450 of April 27, 1953 (as amended by Executive Orders 10491 of October 13, 1953; 10531 of May 27, 1954; 10548 of August 2, 1954; 10550 of August 5, 1954, 11785 of April 6, 1974; and 11652 of March 8, 1972).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To persons contacted in the course of an investigation to the extent necessary to further the purposes of the investigation.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy and photographic film in file folders.

Retrievability: By name of individual.

Safeguards: Maintained in containers with three-way combination locks or areas with intrusion alarms and accessible only to authorized personnel for their information in the performance of their duties.

AID HANDBOOK 18, Part III	TRANS. MEMO NO. 18-III:6	EFFECTIVE DATE September 20, 1977	PAGE NO. 12C-7
---------------------------	-----------------------------	--------------------------------------	-------------------

AGENCY FOR INTERNATIONAL DEVELOPMENT

Retention and disposal: Security violation records and investigative reports are normally retained for 30 years following separation of employee but may be destroyed earlier upon determination that material has no value; identification cards are destroyed upon termination of employment.

System manager(s) and address: Director, Office of Security, 1621 North Kent Street Arlington, Virginia.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(1), (k)(2), (k)(3), and (k) (5) all investigatory material in the record which meets the criteria of all these subsections is exempted from the notice, access, and contest requirements under 5 U.S.C. 552a(c)(3), (d), (e) (1), (e)(4)(G), (H), (I) and (f) in order to accomplish this law enforcement function of the Agency, to prevent disclosure of classified information as required by Executive Order 11652, to assure the protection of the President, to prevent subjects of investigation from frustrating the investigatory process, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of information and sources, and to avoid endangering these sources and law enforcement personnel. See Agency Regulations published in this issue of Federal Register.

A.I.D. - 9

System name: Criminal Law Enforcement Records.

Security classification: Top Secret

System location: a. Central files are maintained in the Office of Inspections and Investigations, 1621 North Kent Street, Arlington, Virginia.

b. Working files are maintained in the Office of the General Counsel, 320 21st Street, N.W., Washington, D.C. and in the overseas offices of the Auditor General, Office of Inspections and Investigations located in Panama, Karachi, Bangkok, Rabat and Manila. (See Appendix A for actual location of these offices).

c. Retired files are maintained at the Washington National Records Center, 4205 Suitland Road, Suitland, Maryland.

Categories of individuals covered by the system: In furtherance of an investigation for suspected violation of criminal laws - present and former employees of the Agency and of the Overseas Private Investment Corporation; present and former employees of contractors used by the Agency and individuals involved or associated with such employees; individuals investigated at the request of another Federal agency.

Categories of records in the system: Reports of investigations concerning violations of Federal civil and criminal statutes and other violations of Title 18, U.S.C., and violations of Agency regulations; personal identification data and details of activities; related correspondence with individuals, with other organizational units of the Agency, and with federal, state, and local government agencies; records of disciplinary or other actions deriving from investigations; and copies of reports of investigations conducted by the Agency on the behalf of other federal agencies. Executive Order 10973 of November 3, 1961, and State Department Delegation of Authority 104 of November 3, 1963.

Authority for maintenance of the system: Attorney General's memorandum re: P.L. 725 (28 U.S.C. 535); Foreign assistance Act of 1961, as amended; Title 18 U.S.C.;

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To persons contacted in the course of an investigation to the extent necessary to further the purposes of the investigation.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual.

Safeguards: Files in Washington are stored in combination locked containers or in intrusion-alarmed areas. Files in field offices abroad are stored in secured areas with access by combination lock doors, in combination locked containers, and/or in areas secured by U.S. Marine guards. Access to records is limited to authorized screened personnel with an official need to know.

Retention and disposal: Records are retained for three years after the closing of a case and are then retired to the Washington National Records Center for 10 years after last entry in file. Copies of reports furnished by other agencies are returned to the originating agency when so requested; otherwise such records are retained until cases are closed and then retired to the National Washington Records Center for the periods stated above.

System manager(s) and address: Director, Office of Inspections and Investigations, 1621 North Kent Street, Arlington, Virginia.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(j)(2) all information about an individual in the record which meets the criteria stated in 5 U.S.C. 552a(j)(2) are exempted from the notice, access, and contest requirements of 5 U.S.C. 552a except subsections (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11), and (i). If the 5 U.S.C. 552a(j) (2) exemption is held to be invalid, then this system is determined to be exempt, under 5 U.S.C. 552a(k) (1) and (2) of the Act, from the provisions of 5 U.S.C. 552a (c) (3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f). The reasons for asserting the exemptions are to protect the materials required by Executive Order to be kept secret in the interest of the national defense or foreign policy, to prevent subjects of investigation from frustrating the investigatory process, to insure the proper functioning and integrity of law enforcement activities, to prevent disclosures of investigative techniques, to maintain the ability to obtain necessary information, to fulfill commitments made to sources to protect their identities and the confidentiality of information and to avoid endangering these sources and law enforcement personnel. See Agency Regulations published in this issue of the Federal Register.

A.I.D. - 10

System name: Employee Relations Records.

Security classification: Confidential.

System location: a. For active records: Employee Relations Branch, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street N. W., Washington, D.C. 20523.

b. For retired records: Washington National Records Center, 4205 Suitland Road, Suitland, Maryland.

Categories of individuals covered by the system: Any A.I.D. employee or employee of another Federal Agency assigned to A.I.D. under a Participating Agency Service Agreement who has filed a complaint, grievance or appeal; has been the subject of an alimony or child support claim; has been listed as a prisoner of war or missing in action (POW/MIA); or has a medical problem affecting his employment.

Categories of records in the system: Correspondence and indexes covering complaints, grievances, appeals, life insurance, health insurance, occupational health, workers' compensation, but not including those records belonging to the Department of Labor; alimony and child support; employee medical problems (but not including medical records maintained by the Office of the Medical Director, Department of State) and material relating to POW/MIA's.

Authority for maintenance of the system: Foreign Assistance Act of 1961, as amended, especially Secs. 621 and 625; Foreign Service Act of 1946, as amended; Executive Order 10450 as amended August 5, 1954; 5 U.S.C. 301, 7301, 7531, 7532, 7533; Sec. 914 of P.L. 92-255; and Sec. 201 of P.L. 91-616.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To a duly appointed Hearing Examiner or Arbitrator for the purpose of conducting a hearing in connection with an employee's appeal involving a grievance.

To a union representative for the purpose of representing an employee in order to protect the employee rights negotiated under the union agreement.

To the Civil Service Commission for the purpose of determining if the Agency's course of action is correct.

To a health or life insurance carrier for the purpose of determining the status of benefits paid or owed by or to an employee pursuant to a health or life insurance compensation agreement.

To hospitals, clinics, and other medical treatment facilities upon their request in order to provide information about health insurance under the Federal Employees Group Health Insurance Program.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set

PAGE NO. 12C-8	EFFECTIVE DATE September 20, 1977	TRANS. MEMO NO. 18-III:6	AID HANDBOOK 18, Part III
-------------------	--------------------------------------	-----------------------------	---------------------------

PRIVACY ACT ISSUANCES

forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper records in file folders.

Retrievability: By employee name.

Safeguards: Located in metal file cabinets with three-way combination lock in secured premises with access limited to those whose official duties require access.

Retention and disposal: Workers' compensation files are retired to Federal Records Center, St. Louis, Missouri, for permanent retention after resolution of case. Alcohol and drug abuse files are destroyed by burning one to three years after separation of employee. POW/MIA files are retained indefinitely. All other records are destroyed by burning one to two years after resolution of a problem or final decision on a pending matter.

System manager(s) and address: Chief, Employee Relations Branch, at the location shown in the Systems Location Section above.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a (k)(5), all investigatory material in the record which meets the criteria of these subsections is exempted from the notice, access and contest requirements of Sections (c)(3), (d) (e)(1), (e)(4)(G), (H) and (I) and (f) 5 U.S.C. 552a in order to fulfill commitments made to protect the confidentiality of sources, and to maintain access to sources of information which are necessary to determine suitability for employment. See Agency Regulations published in this issue of the Federal Register.

A.I.D. - 11

System name: Employee Conduct and Discipline Records.

Security classification: Secret.

System location: a. For active records: Office of Personnel and Manpower, Agency for International Development, 515 22nd Street N.W., Washington, D.C. 20523 and Office of General Counsel, Agency for International Development, 320 21st Street, N.W., Washington, D.C. 20523.

b. For retired records: Washington National Records Center, 4205 Suitland Road, Suitland, Maryland.

Categories of individuals covered by the system: A.I.D. employees and personal services contract personnel.

Categories of records in the system: Investigations of alleged misconduct, statements of outside employment and financial interests, claims for indebtedness, conflict of interest, insubordination, prohibited political activity, sale or barter of personal property abroad, medical problems affecting employment, and relevant disciplinary actions affecting all of the above.

Authority for maintenance of the system: 18 U.S.C. 201 through 209, Executive Order 11222 of May, 1965; F.R. Doc. 68-14888, filed Dec. 12, 1968.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, Members of Congress, and individuals' medical advisers for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual.

Safeguards: Stored in fire-insulated combination vault or in three-way combination locked containers accessible only to authorized personnel with an official need to know.

Retention and disposal: Misconduct and discipline records are destroyed by burning twenty years after last entry in file or ten years after separation whichever is earlier. All other records are destroyed by burning one to two years after resolution of a problem or final decision on a pending matter.

System manager(s) and address: a. For records at Location (a): Chief, Employee Relations Branch, Office of Personnel and Manpower, 515 22nd Street N.W., Washington, D.C. 20523.

b. For records at Location (b): Management Assistant, Office of the General Counsel, A.I.D., 320 21st Street, N.W., Washington, D.C.

Record source categories: The individual concerned, creditors, and A.I.D. employees acting in their official capacities.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a (k)(5), all investigatory material in the record which meets the criteria of these subsections is exempted from the notice, access and contest requirements of Sections (c)(3), (d), (e)(1), (e)(4)(G) (H) and (I) and (f) of U.S.C. 552a in order to fulfill commitments made to protect the confidentiality of sources and to maintain access to sources of information which are necessary to determine suitability for employment. See Agency regulations published in this issue of the Federal Register.

A.I.D. - 12

System name: Executive Assignment Records.

Security classification: Confidential.

System location: Agency for International Development Office of the Deputy Administrator, 320 21st Street, N.W. Washington, D.C. 20523

Categories of individuals covered by the system: Applicants for employment and present A.I.D. employees

Categories of records in the system: Biographical data, education, nominating documents, and recommendations.

Authority for maintenance of the system: Foreign Assistance Act of 1961 as amended, Sections 631 (b) and (c) and 625 (b), (c), (d); 5 U.S.C. 2103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To Members of Congress for Congressional clearance; the White House for clearance; Department of Justice, Federal Bureau of Investigations for security clearance; Civil Service Commission for security clearance, and other U.S. Government Departments and Agencies for executive placement opportunities.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of applicant or employee.

Safeguards: Located in metal file cabinets with three-way combination locks in secure premises with access limited to those whose official duties require access.

Retention and disposal: Applicant's file kept for one year and then reviewed for status. Employee's file kept until employee retires, transfers, or resigns. Files destroyed by shredding or burning.

System manager(s) and address: Special Assistant for Executive Assignments, Agency for International Development, Office of the Deputy Administrator, 320 21st Street, N.W. Washington, D.C. 20523

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director
Office of Personnel and Manpower (SER/PM)
Attn: Privacy Liaison Officer
Agency for International Development,
320 21st Street, N.W.
Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N.W., Washington, D.C. 20523.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator

AID HANDBOOK 18, Part III	TRANS. MEMO NO. 18-III:6	EFFECTIVE DATE September 20, 1977	PAGE NO. 12C-9
---------------------------	-----------------------------	--------------------------------------	-------------------

AGENCY FOR INTERNATIONAL DEVELOPMENT

Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.
Both the envelope and the letter should be clearly marked Attention: Executive Secretary, Privacy Review Request.

Record source categories: Information provided by the applicant or employee, educational institutions, and documents originated by, A.I.D., the White House other U.S. Government Departments and Agencies, Members of Congress, organizations and persons.

A.I.D. - 13

System name: Orientation and Training Records.

System location: Records are maintained in various offices in Washington and abroad that have responsibilities in processing applications. See Appendix A for actual location of these offices.

Categories of individuals covered by the system: Employees of A.I.D., employees of other U.S. Agencies assigned to A.I.D., A.I.D. contractor personnel and dependents of the foregoing; personnel from voluntary organizations, foreign governments and international organizations who apply for participating agency training programs.

Categories of records in the system: In addition to central records in custody of A.I.D., but officially 'maintained' by the Civil Service Commission, the Agency maintains biographical information, training applications, college transcripts, thesis papers, language aptitude and proficiency scores, miscellaneous test scores and correspondence, and evaluations of employees in training.

Authority for maintenance of the system: Foreign Assistance Act of 1961, as amended (P.L. 87-195), Sec 621; and the Foreign Service Act of 1946 amended Title 5, U.S.C. Sec 301, 1302, 2951, 4118, 4308, and Executive Order 10561, Sept 13, 1954.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To colleges, universities, and other formal training institutions, for the purpose of nominating or recommending employees of the Agency for academic studies or training at such institutions, law enforcement agencies, U.S. Government agencies, A.I.D. contractors, courts, the Department of State, foreign governments and international agencies, Members of Congress, and individuals' medical advisers for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual or other personal identifier.

Safeguards: Located in metal file cabinets with three-way combination locks in secure premises with access limited to those whose official duties require access.

Retention and disposal: Selected records disposed of after one to five years by shredding or burning; records of more permanent value disposed of in same manner after retirement, transfer or resignation of employee to which they pertain.

System manager(s) and address: The Chief, Professional Studies and Career Development Division, Agency for International Development, 1735 N. Lynn Street, Arlington, Virginia. Additional records are maintained by Administrative and Executive officers and office supervisors in A.I.D. Washington offices located abroad. See Appendix A for actual location of offices.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director

Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N.W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.
Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities.

A.I.D. - 14

System name: Awards and Incentives Records.

System location: a. Central File: Incentive Awards Branch, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street N.W., Washington, D.C. 20523.

b. Decentralized files are maintained in various Washington offices and offices abroad having responsibility for initiating and/or implementing incentive award activities or programs. See Appendix A for actual location of these offices.

Categories of individuals covered by the system: Foreign Service and Civil Service Employees of A.I.D. and employees of other government agencies.

Categories of records in the system: In addition to central records in the custody of A.I.D. but officially 'maintained' by the Civil Service Commission, the agency maintains forms recording employee suggestions, supervisor's recommendations, award citations, and agency decisions.

Authority for maintenance of the system: Foreign Assistance Act of 1961 as amended, Section 621 (a); Foreign Service Act of 1946 as amended, 5 U.S.C. Chapter 45.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual.

Safeguards: Located in metal file cabinets with three-way combination locks in secured premises with access limited to those persons whose official duties require access.

Retention and disposal: Destroyed one year following completion of program or granting of award; or when obsolete.

System manager(s) and address: a. Central File: Chief Incentive Awards Branch, Office of Personnel and Manpower, Agency for International Development at the location stated above.

b. Executive Officer or principal Administrative Officer in A.I.D. Washington offices and offices abroad. See Appendix A for actual location of offices.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director

Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N.W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

PAGE NO. 12C-10	EFFECTIVE DATE September 20, 1977	TRANS. MEMO NO. 18-III:6	AID HANDBOOK 18, Part III
--------------------	--------------------------------------	-----------------------------	---------------------------

PRIVACY ACT ISSUANCES

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request. Both the envelope and the letter should be clearly marked Attention: Executive Secretary, Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities.

A.I.D. - 15

System name: Employees Payroll Records.

System location: a. For automated files - Office of Data Management, Agency for International Development, 1975 Florida Avenue, Washington, D.C.

b. For employee case file - Employee Services Division, Office of the Controller, Agency for International Development, 1975 Florida Avenue, Washington, D.C.

c. For alimony and child support garnishment file - Employee Relations Branch, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street N. W., Washington, D.C. 20523.

d. For retired files - Washington National Records Center, 4205 Suitland Road, Suitland, Maryland.

Categories of individuals covered by the system: A.I.D. employees including: Direct-hire employees assigned to positions in the United States; U.S. citizen direct-hire employees assigned to positions overseas; personal services contractors; other contract employees; and employees of Federal, state, or local government agencies assigned to A.I.D.

Categories of records in the system: This system consists of five files, three of which are computerized records maintained on magnetic discs and magnetic tapes. The other two are manual files maintained in filing cabinets. These files are described below.

a. **Employee Case File** - this manual file contains copies of SF-50's, withholding statements, bond allotment slips, health benefits forms, life insurance forms, retirement forms and other papers concerning payroll matters.

b. **New American Payroll System Automated Master Employee File** this is an automated file. Individual records contain the following types of information: name, Social Security account number, country post, union indicator, timekeeper code, W-2 mail indicator, retirement system, federal government life insurance, health benefits, birth date, a wide variety of dates including those that indicate suspense actions which are due at a future date, and other dates for the use of financial managers such as limited appointment expiration date, effective date of pay change; allowances, deductions, hours worked, leave severance pay, and federal and state income tax.

c. **Payroll History File**- this file is an automated file. Individual records contain Social Security account number, current pay, year to date pay, tax status, allotments, bonds, time and attendance, retirement, insurance and other pay data.

d. **Address File** - this is an automated file. Individual records contain address records for bonds, allotment, paychecks; W-2 mailing address, agency, Social Security account number, bond number, checkline code and financial organization.

e. **Alimony and Child Support Garnishment File** - this is a manual file which contains court judgement and writ and other legal orders concerning alimony and/or child support payments.

Authority for maintenance of the system: Foreign Assistance Act of 1961 (as amended) 621(a), 625, 636(b), (c); Chapter 51 title 5

U.S.C.; Executive Order 10927; P.L. 93-647; Foreign Service Act of 1946, as amended; and Social Security Act (42 U.S.C. 659).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To Treasury Department for payroll purposes.

To Treasury Department for issuance of savings bonds.

To Civil Service Commission for retirement, health and life insurance purposes.

To the Social Security Administration for Federal Insurance Compensation Act purposes.

To the Internal Revenue Service for taxable earnings and withholding purposes.

To the Combined Federal Campaign for charitable contribution purposes.

To American Federation of Government Employees for union dues.

To American Foreign Service Association for union dues.

To the States of California, New York, Pennsylvania, Maryland, Virginia, and the District of Columbia, under agreements entered into by the Secretary of the Treasury, wage and tax information consisting of name, address, social security number, wages (as defined in Section 3401(a) of the Internal Revenue Code, 26 U.S.C. 3401(a)), and tax withheld, if any. This data is provided generally with respect to employees of the Agency who are employed in the State and subject to the tax (whether or not tax is withheld); or, who have opted for voluntary withholding for their taxing jurisdiction.

To the Attorney General of the United States or his authorized representative in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice, or carried out as the legal representative of the Executive Branch agencies.

To the Internal Revenue Service for audit and inspection and investigation purposes.

To the Department of Health, Education and Welfare for microfilming and producing microfiche.

To the Chesapeake and Potomac Telephone Company (a contractor) and its employees for the purpose of telecommunications transmission of data between the central computer facility and the remote terminal.

To the Department of State for retirement and microfilming purposes.

To judgement holder for the purposes of garnishment for the payment of alimony or child support.

To a duly appointed hearing examiner or arbitrator (an employee of another federal agency) for the purpose of conducting a hearing in connection with an employee's appeal involving disclosures of records of A.I.D. financial systems.

To an arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving disclosure of records of the financial management system.

To the Civil Service Commission concerning pay, benefits, retirement deductions, and other information necessary for the Commission to carry out its Government-wide personnel management functions.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Automated records are stored on magnetic disc and/or magnetic tape. The manual files contain microfilm, microfiche, printed forms, punched cards, and correspondence.

Retrievability: The five files described above are indexed in the following manner: a. Employee Case File - By name of employee.

b. New American Payroll System Automated Master Employee File - by Social Security account number.

c. Payroll History File - by Agency (A.I.D. and O.P.I.C.) and Social Security account number.

d. Address File - by Social Security account number.

e. Alimony and Child Support Garnishment File - by name.

Safeguards: For the automated system, a 'password' is assigned to A.I.D. employees who in the performance of their official duties, must have access to these files. For the manual files they are located in metal file cabinets with three-way combination locks or in secured premises with access limited to those whose official du-

AID HANDBOOK 18, Part III	TRANS. MEMO NO. 18-III:6	EFFECTIVE DATE September 20, 1977	PAGE NO. 12C-11
---------------------------	-----------------------------	--------------------------------------	--------------------

AGENCY FOR INTERNATIONAL DEVELOPMENT

ties require access. The computer facility, including the tape library, is located in secured premises with combination-lock door and access is limited to persons of verified identity who require access.

Retention and disposal: a. The Employee Case Files are maintained for ten years after the date of an employee's separation. The file is transferred to the Washington National Records Center one year after audit.

b. The New American Payroll System Automated Master Employee File is maintained for a two-week period; then it is updated by writing over the old record. This automated record duplicates the information in the employee case file.

c. The Payroll History File is maintained for five years; then it is written over.

d. The Address File is updated periodically as needed and the old version is written over.

e. The Alimony and Child Support Garnishment File is maintained in the office for a period of seven years after an employee is transferred or separated.

System manager(s) and address: For Alimony and Child Support Garnishment File: Chief, Employee Relations Branch, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street N. W., Washington, D.C. 20523.

For all other files: Assistant Controller, Employee Services Division, Financial Management, Agency for International Development 1975 Florida Avenue, Washington, D.C.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director
Office of Personnel and Manpower (SER/PM)
Attn: Privacy Liaison Officer
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N. W., Washington, D.C. 20523.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities.

A.I.D. - 16

System name: Attendance and Leave Reporting Records.

System location: Central records located in Office of Financial Management, Agency for International Development, 1975 Florida Avenue, N.W., Washington D.C. Timekeeper's records are kept by the employing Washington office and offices abroad. See Appendix A for a listing of these locations.

Categories of individuals covered by the system: Employees of A.I.D. and Personal Service Contractors.

Categories of records in the system: Central Records (Employee Payroll File) and Timekeepers Records contain various combinations of the following: time and attendance cards, leave requests forms, correspondence and memorandums on leave, payroll deductions for savings bonds and allotments to various insurances and correspondence on reimbursements.

Authority for maintenance of the system: Title 5, U.S.C. Section 1302, 2951, 4118, 4308 and sections 112 (a) and 113 of the Budget and Accounting Procedures Act of 1950, and Title 6, GAO Policies and Procedures Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

To the Civil Service Commission concerning pay, benefits, retirement deductions, and other information necessary for the Commission to carry out its Government-wide personnel management functions.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual and Social Security number.

Safeguards: Located in metal file cabinets with three-way combination locks in a secure space or secured premises with access limited to those whose official duties require access.

Retention and disposal: Destroyed after 5 years by burning or shredding.

System manager(s) and address: Assistant Controller, Employee Services Division, at the location shown in System Location Section above.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director
Office of Personnel and Manpower (SER/PM)
Attn: Privacy Liaison Officer
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N. W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary, Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities.

A.I.D. - 17

System name: Employee-Owned or-Leased Property Records.

System location: Records are located at various overseas offices listed in Appendix A.

Categories of individuals covered by the system: U.S. government employees and contract employees of A.I.D.

Categories of records in the system: Records on leasing living quarters whose rent and utility costs are reimbursed wholly or in part by A.I.D. and personally-owned vehicles and other property at post. Records contain a description of such property, and how property is disposed of at post.

PAGE NO.	EFFECTIVE DATE	TRANS. MEMO NO.	
12C-12	September 20, 1977	18-III:6	AID HANDBOOK 18, Part III

PRIVACY ACT ISSUANCES

Authority for maintenance of the system: Foreign Assistance Act of 1961 as amended, Sec. 636; Foreign Service Act of 1946 as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To the Department of State for the issuance of licenses and establishing of duty free status of A.I.D. personnel.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual.

Safeguards: Located in metal file cabinets with three-way combination locks in secured premises with access limited to those whose official duties require access.

Retention and disposal: After employee leaves post, records on owned property are retained for four years and on leased property for two years, then destroyed.

System manager(s) and address: Director, Office of Management Operations, 320 21st Street N.W., Washington, D.C. 20523.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director
Office of Personnel and Manpower (SER/PM)
Attn: Privacy Liaison Officer
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

or presented in person at State Annex 2, 1601 North Kent Street, Arlington, Virginia.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary, Privacy Review Request.

Record source categories: U.S. Government employees, local and contract employees of A.I.D. and American Embassy personnel.

A.I.D. - 18

System name: Employee Use of Property Owned or Leased by the U.S. Government Records.

System location: Records are located at Agency Washington headquarters and at offices abroad. See Appendix A for actual location of those offices.

Categories of individuals covered by the system: U.S. Government employees, contract employees of A.I.D., and guests at A.I.D.-operated staff or guest houses.

Categories of records in the system: Records pertaining to the occupancy or use of property owned or leased by the U.S. Government, and to facilities and/or services provided such as: government-leased housing; government-owned furniture, appliances and furnishings; U.S. Government property in custody used for official purposes; government-owned vehicles used for official or unofficial

purposes; parking permits; government-purchased publications; long-distance telephone calls made from A.I.D. facilities; U.S. Government vehicle repair facilities; commissary, liquor, and post exchange purchases; gasoline purchased from or through post exchange purchases; gasoline purchased from or through an A.I.D. overseas post; government-furnished housing maintenance and repair services; and A.I.D. staff or guest house facilities.

Authority for maintenance of the system: Foreign Assistance Act of 1961 as amended, Sec. 621, 635; Foreign Service Act of 1946 as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders, and card index file.

Retrievability: By name of individual.

Safeguards: Located in metal file cabinets with three-way combination locks in secured premises with access limited to those whose official duties require access.

Retention and disposal: Records on the issuance of U.S. Government property are destroyed three years after the property is turned in or otherwise accounted for. Individual trip tickets reflecting official and unofficial use of vehicles are destroyed 6 months after the end of the fiscal year. Maintenance and repair records and related papers pertaining to the maintenance and repair of individual residential units occupied by individuals at overseas posts are destroyed at the end of 4 years. Destruction is by shredding or burning.

System manager(s) and address: Director, Office of Management Operations, Agency for International Development, 320 21st Street, N.W., Washington, D.C.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director
Office of Personnel and Manpower (SER/PM)
Attn: Privacy Liaison Officer
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N. W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: U.S. Government employees, local and contract employees of A.I.D., and personnel of the Department of State.

A.I.D. - 19

System name: Travel and Transportation Records.

AID HANDBOOK 18, Part III	TRANS. MEMO NO. 18-III:6	EFFECTIVE DATE September 20, 1977	PAGE NO. 12C-13
---------------------------	-----------------------------	--------------------------------------	--------------------

AGENCY FOR INTERNATIONAL DEVELOPMENT

System location: Central Records located in A.I.D. Washington Headquarters. Decentralized records maintained in various Washington offices and offices abroad having responsibilities for initiating requests for travel or transportation of things. Travel Advance Control History File for Automated Files: Office of Data Management, 1875 Connecticut Avenue, N. W., Washington, D.C. Travel Advance, Employee Case File: Employee Services Division, Office of the Controller, 1875 Connecticut Avenue, N. W., Washington, D.C. See Appendix A for actual location of these offices.

Categories of individuals covered by the system: A.I.D. employees and their dependents, individuals whose travel is sponsored or paid for by A.I.D., and visitors to A.I.D. offices abroad.

Categories of records in the system: a. Central Records: travel authorizations; itineraries; government bills of lading; government transportation requests; card file pertaining to passports, travel and shipment of effects; and correspondence.

b. Decentralized Records: copies of documents maintained in the central records; export/import permits; baggage declarations; customs declarations; passports and records of applications for visas; travel advance requests; arrival and departure notices; record of clearances prior to departure from post abroad; packing lists and information on meetings abroad including meeting schedules and biographical sketch of attendees.

c. Travel Advance, Employee Case File: a manual file containing copies of travel authorizations and related paid vouchers and correspondence.

d. Travel Advance Control History File: automated file containing name, social security account number, appropriation code, date issued, advance issued and advance outstanding.

Authority for maintenance of the system: Foreign Assistance Act of 1961 as amended, esp. Sec. 621, 636 (a) and (b); Foreign Service Act of 1946 as amended, Sec. 911; and Chapter 57, 5 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To commercial travel, transportation and shipping companies and agents for making travel, transportation and shipping arrangements.

To U.S. Treasury for payment of bills and vouchers.

To U.S. Dispatch Agents to arrange shipment and clearance of effects.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folder

Retrievability: Individual's name or other personal identifier.

Safeguards: Biographic information and passports kept in metal cabinets with three way combination lock. Other records kept in areas with access limited to those whose official duties require access.

Retention and disposal: Retained for four years and then destroyed by shredding or burning.

System manager(s) and address: a. Central Records: Director, Office of Management Operations, Agency for International Development, 320 21st Street, N.W. Washington, D.C. 20523

b. Decentralized Records: Administrative and Executive officers and office supervisors in A.I.D. Washington offices and offices abroad. See Appendix A for actual location of offices.

c. Travel Advance, Employee Case File: Chief, Central Accounts Division, Office of the Controller, 1875 Connecticut Avenue, N. W., Washington, D.C.

d. Travel Advance Control History File: Chief, Information Management Division, Office of Data Management, 1875 Connecticut Avenue, N. W., Washington, D.C.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director

Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N. W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities.

A.I.D. - 20

System name: Claims Records.

System location: a. Central Records:

Office of Personnel and Manpower, Agency for International Development, 1601 Kert Street, Arlington, Virginia for allowance claims and health benefit claims.

Office of the General Counsel, Agency for International Development, 320 21st Street, N.W., Washington, D.C. for tort claims.

Office of Management Operations, Agency for International Development, 320 21st Street, N.W., Washington, D.C. 20523 for claims involving loss of private personal property.

Office of Financial Management, Agency for International Development, 1975 Florida Avenue, N.W., Washington, D.C. for all other claims.

b. Decentralized records maintained in various Washington offices and offices abroad having responsibilities for initiating requests for claims activity. See Appendix A for actual location of these offices.

Categories of Individuals covered by the system: Employees who have filed claims against the Agency and employees against whom the Agency has filed a claim.

Categories of records in the system: a. Central Records: Documentation of claims, voucher disallowances, duplicate payment, and bills for collection.

b. Decentralized Records: Copies of documents maintained in the central records, legal reviews and opinions, and referrals to G.A.O.

Authority for maintenance of the system: Foreign Assistance Act of 1961 as amended, Sec. 621; Foreign Service Act of 1946, as amended; Federal Tort Claims Act and G.A.O. Policy and Procedures Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To U.S. Treasury for payment.

To U.S. Dispatch Agents to verify movement of persons and things and costs thereof.

To Office of Operations, Department of State, for review and initial adjudication of private personal property claims.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To the State - A.I.D. - U.S.I.A. Joint Survey Board for review of claims arising from evacuation.

To commercial travel, transportation, and shipping companies and agents to verify actual costs of services;

To the Office of the Director of Medical Services, Department of State to determine validity of medical claims.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and interna-

PAGE NO. 12C-14	EFFECTIVE DATE September 20, 1977	TRANS. MEMO NO. 18-III:6	AID HANDBOOK 18, Part III
--------------------	--------------------------------------	-----------------------------	---------------------------

PRIVACY ACT ISSUANCES

tional agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

Storage: Paper copy in file folders.

Retrievability: By name of individual or other personal identifier.

Safeguards: Located in metal file cabinets with three-way combination locks in secured premises with access limited to those whose official duties require access.

Retention and disposal: Retained for seven years and then destroyed by shredding or burning.

System manager(s) and address: a. Central Records:

For Allowance Claims: Chief, Foreign Service Technical and Staff Support Branch, Agency for International Development, 515 22nd Street N.W., Washington, D.C. 20523.

For Health Benefit Claims: Chief, Employee Relations Branch, Agency for International Development, 515 22nd Street N.W., Washington, D.C. 20523.

For Tort Claims: Deputy General Counsel, Agency for International Development, 320 21st Street, N.W., Washington, D.C.

For Private Personal Property Claims: Office of Management Operations, Agency for International Development, 320 21st Street, N.W., Washington, D.C. 20523.

For Uncollectable Claims: Assistant Controller, Central Accounting Division, Office of Financial Management, Agency for International Development, 1975 Florida Avenue, Washington, D.C.

b. Decentralized Records: Administrative and Executive Officers in A.I.D. Washington and offices abroad. See Appendix A for actual location of office.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director

Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N.W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's rules as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed to:

Administrator

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary - Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities.

A.I.D. - 21

System name: Public Information Records.

System location: Office of Public Affairs, Agency for International Development, 320 21st Street, N.W., Washington, D.C. 20523.

Categories of individuals covered by the system: Employees of A.I.D., Members of Congress, individuals associated with foreign economic assistance, and individuals requesting information under the Freedom of Information Act.

Categories of records in the system: Biographical information on employees who serve as public speakers, press releases, news clippings, photographs, requests for access to A.I.D. records under the Freedom of Information Act, and related correspondence.

Authority for maintenance of the system: Foreign Assistance Act of 1961, as amended, Sec 621, 634(h); PL93-502; 5 U.S.C. 301; and the Freedom of Information Act (5 U.S.C. 552).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Persons or organizations requesting A.I.D. to make available an employee to speak in public on A.I.D. activities are provided a biographical sketch of the speaker in order to select and introduce the speaker.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copies and photographs in file folders.

Retrievability: By name of individual.

Safeguards: Located in metal file cabinets with three-way combination lock in a secure space or secured premises with access limited to those whose official duties require access.

Retention and disposal: Destroyed after five years by burning.

System manager(s) and address: Director, Office of Public Affairs, Agency for International Development, 320 21st Street, N.W., Washington D.C. 20523.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director

Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N.W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary-Privacy Review Request.

Record source categories: Employees, public media information, A.I.D. records, and individuals requesting access to records under the Freedom of Information Act.

A.I.D. - 22

System name: Congressional Relations, Inquiries, and Travel Records.

System location: a. Principal files are maintained in the Office of Legislative Affairs, A.I.D., 320 21st Street, N.W., Washington, D.C. 20523.

b. Records of Congressional inquiries concerning employees of and applicants for employment with the Office of General Counsel are maintained in the Office of the General Counsel, A.I.D., 320 21st Street, N.W., Washington, D.C. 20523.

c. Related files are maintained in certain areas of the field offices listed at Appendix A.

d. Retired files are maintained in the Washington National Records Center, 105 Suitland Road, Suitland, Maryland.

AID HANDBOOK 18, Part III	TRANS. MEMO NO. 18-III:6	EFFECTIVE DATE September 20, 1977	PAGE NO. 12C-15
---------------------------	-----------------------------	--------------------------------------	--------------------

AGENCY FOR INTERNATIONAL DEVELOPMENT

Categories of individuals covered by the system: Members of Congress, members of their personal staffs and of Congressional Committee staffs; employees of A.I.D. or applicants for employment who are or have been the subject of Congressional inquiries and recommendations.

Categories of records in the system: Congressional correspondence and memoranda of Congressional telephone calls covering (1) requests for information and assistance on matters related to foreign assistance; (2) requests for assistance from the Agency in arranging official travel overseas by Members of Congress, their staffs or committee staffs to inspect and observe foreign assistance programs abroad, and (3) inquiries about A.I.D. employees and recommendations concerning employees or applicants for employment. Also includes information about individual members of Congress derived from public media sources; including biographic records, and extracts from the Congressional Record.

Authority for maintenance of the system: Foreign Assistance Act of 1961 as amended, especially Section 634(b); 5 U.S.C. 301; 44 U.S.C., Chapters 31 and 33.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual member of Congress.

Safeguards: Except for material completely in the public domain, located in a secure space or secured premises with access limited to those whose official duties require the information.

Retention and disposal: Except for correspondence involving matters of policy, records are destroyed by burning after no more than 15 years; files related to individual Congressmen are retired at the end of each session of Congress. Records involving policy matters are retained permanently in archival files.

System manager(s) and address: a. For records maintained at Location (a): Assistant Administrator for Legislative Affairs, A.I.D., 320 21st Street, N.W., Washington, D.C. 20523.

b. For records maintained at Location (b): Office of the General Counsel, A.I.D., 320 21st Street, N.W. Washington, D.C. 20523.

c. For records maintained at Location (c): Executive Officer of the appropriate A.I.D. office listed at Appendix A.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director

Office of Personnel and Manpower (SER/PM)

Attn: Privacy Liaison Officer

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N.W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name. For records of Congressional correspondence, include name of Congressman and appropriate session of Congress. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator

Agency for International Development

320 21st Street, N.W.

Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request. Both the envelope and the letter should be clearly marked Attention: Executive Secretary, Privacy Review Request.

Record source categories: Members of Congress and their staffs; Congressional Committee Staff Members; A.I.D. employees; Congressional Directory, Congressional Quarterly, and Congressional Record; newspapers, magazines, and other public media.

A.I.D. - 23

System name: Employees Equal Employment Opportunity Complaint Investigative Records.

Security classification: Confidential.

System location: Files are maintained in the Office of Equal Opportunity, Agency for International Development, 320 21st Street, N.W. Washington, D.C.

Retired files: Washington National Records Center, 4205 Suitland Road, Suitland, Maryland.

Categories of individuals covered by the system: Employees of A.I.D. who have filed a discrimination complaint.

Categories of records in the system: Employee's name, hearing transcripts, depositions, witness statements, salary, grade, supervisor's evaluation, biographic data.

Authority for maintenance of the system: Executive Order 11478 of Aug 8, 1969; and Federal Personnel Manual Chapter 713.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To the Civil Service Commission for the purposes of compiling statistics on employees.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual.

Safeguards: Located in metal file cabinets with three-way combination lock in secured premises with access limited to those whose official duties require access.

Retention and disposal: Records are retained for three years after the closing of a case and are then retired to the Washington National Records Center for 10 years after termination of employee or 20 years after last entry in file.

System manager(s) and address: Director, Equal Opportunity Programs at the location shown in System Location Section above.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552 a (k)(5), all investigatory material in the record which meets the criteria of 5 U.S.C. 552a (k)(5) is exempted from the notice, access, and contest requirements of Sections (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f) of 5 U.S.C. 552a in order to fulfill commitments made to protect the confidentiality of sources. See Agency Regulations published in this issue of the Federal Register.

A.I.D. - 24

System name: Emergency Case File.

System location: a. Central records located in A.I.D. Washington Headquarters.

b. Decentralized records maintained in various Washington offices and offices abroad having responsibilities for administrative processing. See Appendix A for office locations.

c. For retired records: Washington National Records Center, 4205 Suitland Road, Suitland, Maryland.

Categories of individuals covered by the system: A.I.D. employees and employees of other U.S. Government Agencies assigned to A.I.D.

Categories of records in the system: a. Material and claims connected with employee deaths, employee emergency locator cards, blood donor records and emergency visitation travel.

b. Decentralized Records: Copies of documents maintained in the central records.

Authority for maintenance of the system: Foreign Assistance Act of 1961, as amended; Foreign Service Act of 1946, as amended; and Title 5, Subchapter VIII.

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

PAGE NO. 12C-16	EFFECTIVE DATE September 20, 1977	TRANS. MEMO NO. 18-III:6	AID HANDBOOK 18, Part III
--------------------	--------------------------------------	-----------------------------	---------------------------

PRIVACY ACT ISSUANCES

employees for the purpose of settling claims and to families of employees for emergency visitation travel arrangements and arrival notifications.

To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual.

Safeguards: Safeguarded in metal file cabinets with three-way combination locks.

Retention and disposal: Cases related to employee death are retained for three years and then retired to Washington National Records Center for permanent retention. Emergency locator cards and blood donor records are destroyed when obsolete. Emergency visitation records are filed in Official Personnel Folder upon completion of travel.

System manager(s) and address: a. Central Records: Chief, Employee Relations Branch, Office of Personnel and Manpower, Agency for International Development, Washington, D.C.

b. Decentralized Records: Administrative and Executive officers and office supervisors in A.I.D. Washington offices and offices abroad. See Appendix A for actual location of offices.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director
Office of Personnel and Manpower (SER/PM)
Attn: Privacy Liaison Officer
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N.W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary-Privacy Review Request.

Record source categories: The individual concerned and A.I.D. employees acting in their official capacities.

A.I.D. - 25

System name: Privacy Act Implementation Records.

System location: Office of Personnel and Manpower, Personnel Services Division, 515 22nd Street N.W., Washington, D.C. 20523.

Categories of individuals covered by the system: Individuals, U.S. Federal and local governments, and Members and Committees of Congress.

Categories of records in the system: Correspondence and other documents related to requests for information about the existence of records, requests for access to information, requests for amendments to records, and requests for review of refusals to amend records.

Authority for maintenance of the system: Privacy Act of 1974 (P.L. 93-579) Sec. 552a (c), (e), (f), and (p); and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of individual.

Safeguards: Maintained in metal containers with three-way combination locks and accessible only to authorized personnel with a need for the information in the performance of their official duties.

Retention and disposal: Records are retained for one year and then retired to the Washington National Records Center for ten years before destruction.

System manager(s) and address: Privacy Liaison Officer, Office of Personnel and Manpower, Agency for International Development, 515 22nd Street N.W., Washington, D.C. 20523.

Notification procedure: Requests by individuals concerning the existence of a record may be addressed to:

Director
Office of Personnel and Manpower (SER/PM)
Attn: Privacy Liaison Officer
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

or presented in person at State Annex 2, 515 22nd Street N.W., Washington, D.C. 20523.

For offices abroad, to the Privacy Liaison Officer at the applicable address in Appendix A.

Information Required: Individual's name, place and date of birth. The determination as to the existence of a record will be facilitated by the provision of the individual's Social Security number and dates and places of service.

Record access procedures: Requests from individuals should be addressed or presented in person to the same addresses as stated in the Notification Section above.

Requests should be accompanied by information sufficient to identify the individual pursuant to Sec. 215.4(c) or (d) of the Agency's Regulations as published in this issue of the Federal Register.

Contesting record procedures: Written requests from individuals to amend their record should be mailed or presented in person to the same addresses as stated in the Notification Section above.

Requests for review of a refusal to amend a record should be made in writing and mailed or delivered to:

Administrator
Agency for International Development
320 21st Street, N.W.
Washington, D.C. 20523

ATTENTION: Executive Secretary - Privacy Review Request.

Both the envelope and the letter should be clearly marked Attention: Executive Secretary-Privacy Review Request.

Record source categories: Individuals and Agency employees acting in their official capacities.

A.I.D. - 26

System name: Litigation Records.

Security classification: Secret.

System location: a. Active files are maintained at the Office of the General Counsel, Agency for International Development, 320 21st Street, N.W. Washington, D.C. 20523.

b. Retired records are maintained at the Washington National Records Center, 4235 Suitland Road, Suitland, Maryland.

Categories of individuals covered by the system: Foreign Service employees, Civil Service employees, personal services contractors, former employees, and members of the public.

Categories of records in the system: Correspondence and other documents relating to disputed contracts, and tort claims against the Agency, and other claims and actions against the Agency.

Authority for maintenance of the system: Foreign Assistance Act of 1961, as amended; Foreign Service Act of 1946, as amended; Tort Claims Act.

AID HANDBOOK 18, Part III		TRANS. MEMO NO. 18-III:6	EFFECTIVE DATE September 20, 1977	App 12C PAGE NO. 12C-17
---------------------------	--	-----------------------------	--------------------------------------	-------------------------------

AGENCY FOR INTERNATIONAL DEVELOPMENT

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To law enforcement agencies, U.S. Government agencies, courts, the Department of State, foreign governments and international agencies, and Members of Congress, for the purposes set forth in the Statement of General Routine Uses immediately preceding these specific notices of systems of records.

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

Storage: Paper copy in file folders.

Retrievability: By name of employee and calendar year.

Safeguards: Maintained in combination vault insulated against fire and located in secure premises with access limited to those whose official duties require access.

Retention and disposal: Maintained for two years following settlement of case and then retired to Washington National Records Center for five years prior to destruction.

System manager(s) and address: Assistant General Counsel for Management and Administration, Office of the General Counsel, Agency for International Development 320 21st Street, Washington, D.C. 20523.

Systems exempted from certain provisions of the act: This system is exempt under 5 U.S.C. 552a (k)(1), (k)(2), and (k)(5) from the notice, access, and contest requirements of Sections (c)(3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f) of 5 U.S.C. 552a. These exemptions are claimed to protect the materials required by Executive Order to be kept secret in the interest of national defense or foreign policy, to prevent subjects of investigation from frustrating the investigatory process, to insure the proper functioning and integrity of law enforcement activities, to prevent disclosure of investigative techniques, to maintain the ability to obtain candid and necessary information, to fulfill commitments made to sources to protect the confidentiality of information, and to avoid endangering these sources. See Agency Regulations published in this issue of the Federal Register.

[FR Doc. 77-27334 Filed 9-19-77; 8:45 am]

“ A I D Handbook 18, Part III Chapter 12,
Access to and Protection of Records on Individuals
Privacy Act 1974 ” の骨子仮訳

プライバシー保護法の指導原理

- a. A I Dの保持する個人情報、A I Dの業務に必要なもののみに限定するものとし、正確、完全、最新のものでなければならない。
- b. 情報が個人の権利または利益に影響を及ぼす場合には、可能な限り当該個人本人から情報を収集するものとする。
- c. プライバシー保護法に定める場合を除き、本人の同意なしに当該個人情報を他人ないし他機関に開示してはならない。
- d. 個人（情報の主題となっている米国市民または法的に永久居住権を与えられた外国人）はA I Dの保持する自分の個人情報にアクセスし、点検し、そのコピーを入手し、必要な場合はその情報の訂正を要求することができる。

（ 12 B, 12 D ）

A I D職員の責任

1. 職 員

A I D記録システムを運営する業務請負契約従事者を含む全てのA I D職員はプライバシー保護法に従わねばならない。

2. A I D長官

長官は、a. 官報中に(1)プライバシー保護法を施行するためのA I Dの諸規程。(2)A I Dにより保持される記録システムの存在と性格。(3)個人情報の取扱いに関する一般的あるいは特殊の例外規程。(4)A I Dの個人情報の定型的使用（情報の収集目的、使用目的からして本人の同意なしに他人ないし他機関への情報開示が許される）を公表する。

b. A I Dがその保持する個人情報の訂正要求を拒否し、それに対する異議申し立てを受けたとき、これを受理し、見直しを自ら行うか、見直し担当者を指名する。

3. プライバシー担当官（ Privacy Officer : P O ）

人的資源部長がP Oの役割を果たすものとし、

- a. 通達、事務要領等を発し、プライバシー保護法の下での職員の責任を告知し、研修を行う。
- b. 個人情報開示ないし訂正の要求を受け、拒否決定を行う際の判定を行う。
- c. プライバシー保護法に関連し、A I Dに対して提起された訴訟に対応する。

4. プライバシー問題連絡官（ Privacy Liaison Officer : P L O ）

PLOは長官の指名を受け、

- a. ファイル保管者、システム保管者に対し、情報の保持の原則（正確、完全、最新、合目的性）を指導し、
 - b. 情報訂正要求、及びその拒否に対する異議申し立てに対処する。
 - c. 必要に応じ新しい諸基準等の設定を行う。
5. PLO（在外事務所）
- 次長級職員がPLOを務め、在外での個人情報開示請求及び、訂正要求に対処する。
- その他PLO（ワシントン）と同様の業務を行う。
6. ファイル保管者（File Custodians）
- ファイル保管を物理的、手続的、技術的に保護、維持する。
- 内部での開示は、知る必要のあるAID職員に対してのみ行う。（12 E）

AID職員行動規則

1. 情報記録システム設計・開発担当職員
 - a. 設計・開発を要請されている情報記録システムの妥当性（AIDの機能に必要なか、AIDが当該情報を収集する権限を有するか）を確認する。
 - b. 個人情報を可能な限り本人から直接入手でき、情報の取扱いに際し本人に連絡を取りやすいようなシステムとすべく設計手順を設定する。
 - c. 情報の正確性、完全性、適時性を確保するために必要な見直し、点検が行いやすいシステムを心がける。
2. 情報記録システム維持運営担当職員
 - a. システムを行政管理・予算庁に届出、承認を得ると共に、保持の事実を官報に公表する。
 - b. AID職員への情報の開示には、その知る必要性を確認し、AID部外者への開示には要請者の身元を確認せねばならない。
 - c. 情報訂正要求が出た際は、真実の確認のためのあらゆる合理的な努力を払うこと。
 - d. 訂正の場合は、承認された訂正事項のみ入力すること、当該情報の以前の使用者にはその変更の事実を通知すること。
 - e. 保管を託された情報の物理的安全のため必要な手段を、就業時間、非就業時間両面にわたって常時講じておくこと。（12 F）

罰則、民事的矯正、制裁

1. プライバシー保護法により開示が禁止されている資料を故意に開示した場合、また公的公示をせずに情報記録システムを保持した場合、AID職員は最高5,000ドルの罰金を課される。
- 虚偽の申告により他人の個人情報を故意に申請あるいは入手した者も同様の罰を課される。

2. 事務所を離れるとき、A I D職員は例えば人事ファイル等を権限のない他人がアクセスし得る形で残して離れてはいけない。法廷で重大な過失、故意の開示とみなされることがある。
3. A I Dは毎年官報にA I Dの保持する個人情報記録システム及び個人情報取扱に関する内部手続等を公表している。
4. A I D及び行政管理・予算庁に承認され、官報に公示されない限り、A I Dはその記録を保持する権限を与えられない。
5. A I Dの個人情報記録システムには宗教、政治に関する見解、特定の団体への加入の言及があってはならない。
6. 個人情報を取扱う職員は刑事罰を受ける可能性があることを常に認識すること。例えば求められた情報訂正に応じなかったこと、情報へのアクセスを与えなかったこと、正確、適切、完全、最新の情報を維持する努力を怠ったこと、その他プライバシー保護法の諸条項に従わなかったこと等が原因になる。
7. A I Dの敗訴の場合、アメリカ合衆国が原告の訴訟費用及び損害賠償を支払うこととなる。
8. A I D職員の重大な過失により、慎重を要すべき個人情報を不用意に開示した場合は、民事的矯正、刑事罰を課されることになる。(12 G, H)

プライバシー保護法の適用除外

1. プライバシー保護法は特定の情報について、同法の適用を免除している。
ただし免除される情報記録の存在と性質は官報に公表せねばならない。
プライバシー保護法の適用が除外されるものは、
刑法施行記録、人事保安・適切性調査記録、職員関係記録、規律関係記録、訴訟記録等である。
ただしこの情報を当該個人に開示しないと本人に不利な影響を与えることになる場合は、本人に開示するものとする。(12 I)

適用除外の情報記録システムの取扱手順

特定個人より適用除外システムへのアクセスを要請された場合、ファイル管理者、システム管理者は、回答（諾または否。否定の場合はその理由も付す。）をP L Oを通じ、P Oに送付する。P Oが最終的判定を行う。

一般に、外交政策、国防、大統領の保護、刑法施行の保護、秘密情報源の保護、あるいは調査過程中のもの等に関係する情報はアクセスが否定されるが、除外すべき情報の削除等編集の後、できるだけアクセスを認めるよう努める。(12 I)

個人情報の開示

1. 同意を必要としない開示

a. A I D及び国務省の内部

A I D及び国務省の職員は、職務遂行に必要な範囲で個人情報にアクセスできる。

b. 機関間支援協定に基づく開示

機関間支援協定に基づき、機関間で個人情報移転が行われる場合は、機関内移転と同等と考えてよい。

例えば他省庁職員経歴情報のA I Dへの開示、A I D内他省庁職員の能力評価情報をA I Dが他省庁に開示すること等。

c. 国勢調査局への開示

国勢調査局が国勢調査または関連活動に使用する際は、アメリカ合衆国法タイトル13に従い、行政機関は個人情報を開示する。

d. 統計目的のための開示

A I Dは特定人から統計目的のみでの個人情報の使用を書面で要請された場合、これら情報記録を個人が識別できないような形でのみ開示することができる。

e. 国立公文書館への開示

情報記録を保存する価値があるかどうかを決定するための評価のため、A I Dがその情報記録を国立公文書館へ供与することによる開示がある。

f. 法律施行目的のための開示

米政府機関からの書面の要請があれば、A I Dは法律により権限を与えられた民法及び刑法の施行活動の目的のため情報を開示してよい。

g. 非常決態下の開示

当該個人の同意を得るのに必要な時間のうちに同人の身体の安全を害する事態の発生のおそれがあり、かつ情報の開示が本人を必ずしも害する恐れはないとき、A I Dは本人の同意なしにその個人情報を開示することができる。

h. 議会への開示

管轄下の事項の範囲で、議会及びその委員会、小委員会、合同委員会へ個人情報を開示できる。

i. 会計検査院への開示

会計検査院長、及び権限を与えられた会計検査院職員は情報記録へのアクセスを許される。

j. 法廷命令に基づく開示

法廷命令を受けた場合は、要請された情報記録を開示する。

2. 個人情報開示のための本人の許可の取得

a. 関係個人から書面による要請または同意がない限り、当該個人の情報を開示してはならない。

b. 個人に情報開示許可を要請するとき、強制的印象を与えないよう注意すべきこと。また同意を拒否した場合の結果を明示しなければならないが、同意を与えることが、事実と反して、恩典を得るための前提であるとの印象を与えないよう注意すべきこと。

同意は開示の一般目的及び開示情報受取人の種類についてなされるものとする。

同意の取得には所定様式を使用のこと。

3. 開示記録の維持

A I DはA I D職員、国務省職員への通常の開示、機関間支援協定に基づく開示、情報公開法に基づく開示の場合を除き、開示した時の経緯説明の記録を維持しなければならない。

この目的のため所定様式が使用される。

開示をめぐる協議文書、往復文書等と共にファイルし、保存しておくこと。

4. 開示記録の保存

開示記録は最後の開示後5年間あるいは開示された情報記録の有効期間のうちどちらか長い方の期間保存される。

5. 開示記録の利用

a. 開示記録の当該個人への開示

本人から要請があった場合、開示記録は当該個人に開示する。ただし法律施行の目的で行われた開示の場合を除く。

b. 以前の開示受取人への通報

情報の訂正、あるいは情報をめぐる議論のやり取りがあった場合は、以前の情報受取者に対し、訂正された内容、あるいは議論の記述の写しを送付する。(12 J)

A I D職員個人情報の提供サービス

1. 定型的提供

A I D職員の収入、休暇記録、健康保険給付記録、退職金、積立金累積額等の個人情報は定型的に随時当該個人に要請に応じ提供している。

2. 身元確認

情報要求を行う個人に対しては、個人情報取扱担当者は身元を充分確認すること。

3. A I D外部からの情報要請

A I D職員本人の書面による同意があるとき、またプライバシー保護法の諸条項で定めがあるときはA I D部外者にA I D職員の個人情報を提供することができる。例えばA I D職員への融資等の検討をしている金融機関等に対しては、職員名、A I D雇傭の年月日、給料等級等の証明書を、当該A I D職員よりの書面の要請に応じ、発行する。それ以上の個人情報については、A I D職員自身で金融機関等に情報提供するものとする。(12 K)

通知、アクセス、訂正、見直し、異議申し立てのファイリング等の運営手順

1. 情報記録の存在の通知

a. 自分の情報記録がA I Dに存在するか否かを(書面により、あるいは自身による出頭により)

尋ねてくる個人には、存在あるいは不存在をP L Oが通知する。

b. 個人からの情報の収集

要請者には、A I D内の情報の検索を容易にするため、最低限氏名、出生場所、出生日の提示を求め、できれば社会保障番号及び必要な追加情報を求めるものとする。要請者が社会保障番号の提示を拒んでも、それを理由に、権利、恩典、特権の供与を否定してはならない。

c. 要請の提出先

個人情報要請はA I D / ワシントンのP L O、またはA I D / 海外事務所のP L Oに宛てて提出されるものとする。

d. 要請様式の使用

要請を受理した際は所定様式を使用すると共に、第2コピー～第5コピーはファイリング、関係先への連絡目的に使用される。

2. アクセス

a. アクセスに対する個人の権利

(1) 自分の個人情報を求める個人は、アクセスを求める理由を述べる必要もないし、アクセスの必要性を正当化する必要もない。

(2) アクセス要請者が、情報記録を点検し、議論するため、同伴者の帯同を希望する場合は、要請者に書面による要請の提出を求めるものとする。

(3) 要請者の身元識別には運転免許証、職員身分証明書（I Dカード）、医療保険証等の提示を求めて判定する。かかる適切な識別文書を提示できない場合は、身元声明書を作成し、署名を求める。

ただし情報公開法により公衆の構成員に利用可能な情報へのアクセスを求めている場合は、要請者の身元の確認は求められない。

(4) 可能な場合は、P L Oは当該情報を出頭してきた要請者にその場で直ちに開示することもできる。また他の個人情報の開示を防ぐため、または秘密情報源の削除のため、または情報をコンピュータ・コードから理解可能な形に翻訳するため等の理由で開示が遅れることもあり、その場合は要請者に提示予定日時を示すものとする。ただし、これをもって開示抑制のための言い訳として使用しないものとする。

(5) 情報の開示前にP L Oは、当該情報が他人の情報を含まないこと、秘密情報源を暴露しないこと、当該要請者が通常はアクセスできない秘密情報を含まないこと等を確認しなければならない。

(6) 要請者には要請情報の写し一部を無料で与え、追加の写しについては手数料を徴収するものとする。

b. 文書によるアクセス要請

文書により情報要請を受ける場合は、要請者の身元確認のための、署名し、公証された文書を

求めるものとする。虚偽の申告による申請、取得は最高5,000ドルの罰金が課されることも申請者には明示するものとする。

当該情報記録は、配達証明書付書留郵便で要請者に郵送する。海外の場合にも同等の郵便等サービスが使用される。

c. アクセス関係処置の完了

サービスに対する手数料（もし徴取した場合は）は、財務省出納局長に代って入金を受領するよう指名されたAID会計課員に渡される。

d. アクセス関係処置に要する時間枠

当該情報記録は、要請受理の日（出頭の場合は出頭日、文書による要請の場合は要請文書受領日）より10就業日以内に開示する。

郵便による文書で要請を受け、アクセスが10就業日以内に与えられそうもないときは、POまたはPLOは要請の受理の旨を書面で通知し、アクセスが許されると思われる日時を示す。

このような遅れの原因としては、当該情報記録が使用終了していること、遠隔の記録センターに移管されていること、海外の拠点に存在すること等が挙げられる。

ただし、全ての要請は30日以内に処置すべきものとする。

e. アクセスを制限する要因

a. 要請者が氏名その他の識別事項を提示しない場合はアクセスの提供を断わらざるを得ないことがある。

b. 情報がコンピュータ・テープに保存されている時、または当該情報の開示が他人の情報も開示することになるか、秘密情報源を暴露することになる時は、当該個人に関する情報のみを抽出する等の加工を施してもよい。しかし、可能なときは、要請された情報は、実際に保存されている決態で提示するものとする。

f. 手数料

要請者に情報記録の第1コピーを供与する限りは手数料は取らない。追加コピーに対しては頁当たり10セントの手数を課す。

支払は米国財務省出納局長宛支払の小切手、米国の銀行小切手、または郵便為替による送金、または現金で求めるものとする。

g. 医療記録

AIDで保持される医療記録は職員の身体検査の抜すいのみであり、関係個人は無条件でこの記録にアクセスできる。

国務省で保持される医療記録へのアクセスについては、国務省の規則（フォーリン・アフェアーズ・マニュアル第5巻400節）に従うべきこと。

h. 在外事務所におけるアクセス

1. AID在外事務所は現地で保持する情報へのアクセスを許可し、前述のようなアクセス関

連の処理文書を綴じたファイルを維持するものとする。

在外事務所のPLOは情報へのアクセスを拒否することを考慮する場合は、その状況をAID / ワシントンのPOに連絡し、在外事務所長を通じて確認または指示を要請する。

2. PLO (在外事務所) が当該国在住個人からAID / ワシントンの情報記録に対する要請を受けた場合は、この要請をAID / ワシントンのPLOに転送する。要請者が適切な身元確認資料を提示している場合は、在外PLOはこれを確認し、当該要請に添付してAID / ワシントンに送付する。

3. 情報記録の訂正

a. AIDの日常業務として、住所の変更、扶養家族の数の変更、職員情報のルーティンとしての見直しと更新等個人情報の訂正はしばしば行われており、これはプライバシー保護法の手順を発動して行うものではない。

b. プライバシー保護法に基づく書面による訂正要請

AIDは情報の訂正の要請を書面で行うことを求める。この要請には下記情報またはこれと同等のものの提示を必要とする。

(1) 訂正すべき情報を含む記録システムを識別するもの

(2) 訂正すべき特定の情報の部分を識別するもの

(3) 希望の訂正

(4) 訂正を要請する理由

(5) 訂正の要請を支持する他の情報、文書および証拠

c. 要請が上記の形式で提出されない場合でも、説明なしに却下または返送してはならない。要請を受理可能にするための要件を指示し、必要に応じ要請書の下書きを支援すること。

d. 訂正要請の提出は郵送または配達でよい。本人が要請を配達する場合は、PLOはその場で本人に確認すべきことがないかチェックする。

e. PLOは関係部署の長、ファイルないしシステムの保管者に10日以内に結論が得られるか否かの判定を指示する。10日以内に結論を出すことが困難と思われる場合は、PLOは要請の受領の事実と共に、結論の出るおおよその日時を要請者に通知する。

f. 関係者は要請に対する決定をPLOに通知し、訂正または削除等の措置を取る。訂正または削除の拒否をする場合は、拒否の理由とその根拠をPLOに示す。

g. PLOの取るべき措置

関係者による調査、判定の過程の間、PLOが要請者との唯一の対話の窓口である。

PLOは必要に応じ下記の行動を取る。

(1) 要請者に対象情報の明確化を更に求めること。

(2) 関係担当官による決定を点検し、要請者の要請のとおり決定と措置が取られた場合は、その旨要請者に通知する。

(3) 決定が要請を部分的あるいは全面的に拒否する場合は、P L OはP Oと協議を行い、P Oの判断を求める。在外P L OはワシントンのP Oによる点検を求める。最終的決定が部分的あるいは全面的拒否の場合は、P L Oは要請者にその理由、その根拠、拒否決定に対する見直し要請のための手順、見直し担当官たるA I D長官のアドレス、見直し要請書作成時におけるP L Oの支援等につき文書で通知する。この文書は要請者に配達証明付米国書留郵便または同等のサービスで送付される。

この間の関係諸手続文書は全てファイルされる。

h. 訂正または訂正拒否の時間枠

(1) P L Oは要請受領から10日以内にA I Dが情報記録の訂正に応じられると思われるときは、要請受領通知を発送しなくてよい。

(2) 異常な事情の場合を除き、A I Dは訂正関係の要請に対する諸措置を30日以内完了するものとする。30日以内に措置できなかった全ての事例は管理・予算局、大統領、および議会宛ての年次報告に記載される。

4. 訂正拒否に対する見直しの訴え

a. 自分の個人情報の訂正または削除の要請を全面的または部分的に拒否された要請者は、拒否の日付から60日以内に拒否見直しの要請をA I D長官に書面で提出できる。

この際、元の要請、その根拠として提出された文書、及びA I Dから受けた拒否決定の文書の写しを添付すること。

b. 見直し権限の委任

A I D長官は自身で見直しを行ってもよいし、見直し担当職員を任命してもよい。

この際指名される見直し担当職員は、最初に拒否決定した職員とは組織上独立しているか、または上席でなければならない。

この任命は書面で行われなければならない。

c. 見直し

長官または見直しを任命された職員は、必要に応じ追加情報を求め、関係A I D内情報にアクセスできる。

見直しは通常30日以内に完了しなければならない。30日以内の見直しが不可能の場合、見直し担当官は遅れの理由と完了の予定の日時を書面で要請者に通知する。

30暦日以内に見直しの完了しなかった事例の数は行政管理・予算庁宛年次報告に記載しなければならない。

d. 見直し担当官による訂正決定

決定が訂正の場合は、見直し担当官は配達証明書付き書留郵便でその旨を要請者に通知すると共に、訂正を命令し、P L Oに必要な指示を与える。

e. 見直し担当官による訂正拒否決定

決定が訂正拒否の場合は、見直し担当官は書面で要請者に

- (1) 要請者にはA I Dの訂正拒否決定に対する異議申し立てをA I Dに提出する権利があることを説明し、
- (2) 異議申し立ての提示手順を説明し、
- (3) 要請者には訂正拒否の法的見直し（提訴）を求める権利があることを説明する。

また見直し担当官は、上記(1)の異議申し立ての写しを、当該情報の以前の開示受領者に配付し、P L Oに必要な指示を与える。

f. 事例ファイルの作成

P L Oは上記見直し過程には直接加わらないが、見直し過程で取られる諸措置をシステムに記録しておかねばならない。

5. 異議申し立ての提出

- a. A I Dから情報記録訂正拒否最終通知を受けた個人は、前記4.e (1)の異議申し立てを提出することができる。この申し立て書は元の訂正要請を受領したP L O宛送付するものとする。
P L Oは訂正をめぐる要請者とA I Dの交渉経過の文書と共に申し立て書をファイルする。
- b. P L Oは当該情報記録の以前の開示受領者に上記異議申し立て書及びA I Dが訂正を拒否する理由の概要のコピーを送付する。
- c. 当該情報が以後開示されるときには、上記議論の両論が併せて開示されるよう、当該情報に標識を付す。これはコンピュータ情報についても同様である。（12 L）

物理的、手続的、技術的安全保護

プライバシー保護法の定めるところにより、個人情報に対し適切な行政的、技術的、物理的安全保護を施すことが求められている。

1. 物理的蓄積

個人情報の蓄積には“ Limited Official Use ”と指定された資料に与えられる保護と同等の保護が与えられる。すなわち勤務時間中は特定個人による保管とし、勤務時間後は3重組合せ錠により保護されなければならない。

2. 伝 送

個人情報の伝送には米国郵便と同等の安全性を有する配送システムを使用するか、または持参するものとする。

個人情報伝送用封筒には“ Personal Information ”（個人情報）と印字し、個人情報を含む電報あるいは文書には本文の最初の行に“ Personal Information ”と記す。

個人情報が当該個人宛送付されるときは、“ Personal Infomation ”の印字に加えて、“ To be opened by addressee only ”（受取人のみにより開封のこと）と印字される。

権限のない者がかかる資料を開封した場合、虚偽の口実により個人情報を入手したとしてブライ

プライバシー保護法により罰せられる。特に保安、刑法上の捜査、訴訟、徴収等取扱いに慎重を要する資料は最低限、書留郵便と同程度の取扱いを必要とする。この種の資料は持参または受領証システムのあるメッセンジャー・サービスにより伝送しなければならない。人事評価ファイルも同様の扱いとなり、指名された者のみがこの取扱いに参画する。

3. 技術的処理の安全保護

コンピュータによる伝送と蓄積は、パスワードと秘密キーにより保護すべきこと。

パスワードにアクセスできる者の名前は適切なログに記入されるものとし、パスワードは必要に応じ変更する。データ処理エリアは組合せ錠と鋼製ドアにより保護すべきこと。(12M)

研 修

1. Privacy Officer (PO) (人的資源部長)は職員に対し、プライバシー保護法の下でのAID職員の責任を通告し、この法律の施行のためのAIDの手続を研修させる。
2. 全てのAID職員に対しプライバシー保護法の主要条項を紹介し、一般的な権利と責任を自覚せしめるオリエンテーションが実施される。AID/ワシントン及び在外事務所の新規採用職員はプライバシー保護法の研修を受ける。(12N)

議会及び行政管理・予算庁による新情報記録システムの承認

1. 新しい情報記録システムの導入または既存システムの変更の60日前に議会、行政管理・予算庁に、およびその存在期間についてはプライバシー保護検討委員会に報告しなければならない。
2. システム内容の変更、例えば記録が維持される個人の数またはタイプの増加等についても報告を求められる。
3. AID内の各組織単位は、システムの新設あるいは既存システムの変更を企図する場合は、その実行の少くとも90日前にPOに連絡するものとする。(12O)

様式的设计

1. プライバシー保護法の規定に基づき、個人情報要請のための様式を定める。
この様式には要請者、AIDの権利、義務関係を必要に応じ、簡潔に明示するものとする。在外事務所用の様式には地域的事情を考慮した設計とすることができる。(12P)

手続の年次見直しと年次報告

1. 行政管理・予算庁より各行政機関は、定期的に記録保存政策と実施を見直すよう求められており、AIDは毎年4月30日に年次報告を行管庁に提出するが、その2カ月前に見直しを実施している。
2. 4月30日以前にAIDは下記情報を行管庁に伝えている。行管庁は大統領の議会宛年次報告の作成のためこれら情報を必要としている。

a. 要 約

プライバシー保護法に合致するために行った活動の結果の要約、問題点、もしあれば法令、政策、手続の変更等の勧告。

b. 成 果

プライバシー保護活動の成果の要約

c. 計 画

次年次に計画している主要計画の要約。

例えば追加を計画している安全保護手段、強調すべき分野等。

d. 適用除外

プライバシー保護法の適用を除外された記録の数、除外を発動した理由。

e. 記録システム

主要システム変更の数、理由の要約。

f. 運営実績

情報要請受理件数、拒否件数、訂正拒否件数、提訴件数等を含む運営実績の記述。

3. もしA I Dがプライバシー保護法あるいは行管庁の指導方針に違反した場合には、更に広範なデータを求められることになる。行管庁より行政指導を受けた場合には、A I Dにおけるプライバシー保護に関する要件は厳しいものにならざるを得ない。(12 Q)

メイリング・リスト

プライバシー保護法は、特に他の法律に定めがある場合を除き、各行政機関が個人の氏名と宛先を販売あるいは賃貸することを禁じている。ただし、この条項は他の場合に公表が許されている氏名と宛先（例えば電話帳その他公共文書に表示されている場合）の公表を差し控えることを求めていると解釈しないものとする。

以 上

8. Security Regulations : Policy and Procedural Implementation
of E.O. 12356, Foreign Affairs Manual Vol. 5

(国家安全保障関係情報の取扱に関する米国務省／USAID
共用マニュアル：原文及び骨子仮訳)



Foreign Affairs Manual

Vol. 5 — Communications and Records

Transmittal Letter: CR-129 & TL:SY-9
Date: September 26, 1985

Security Regulations

Chapter 900.

NOTE: This chapter has been printed in photocomposed format. In the previous format, revisions within text were shown by asterisks preceding and following the revised material. In the new format, new or revised material is shown in italics. FAM updates are now issued only by complete subchapters (910, 920, etc.). The Directives Staff (FAIM/DIR) no longer issues FAM changes by the pen-and-ink method or one-page changes within subchapters. The purpose of these procedures is to allow easier filing for users and thereby maintain greater FAM volume integrity.

Subchapters 910 through 990 have been renumbered to conform with the new format.

The attached version of the security regulations reflects modifications in classification policy in compliance with Executive Order 12356 of April 2, 1982. It amends the system for classification and declassification of government documents relating to national security.

Attached is Exhibit 962, which was inadvertently omitted from previous TL:CR-123.

Action Required of Each Employee:

- a. Become familiar with and follow these regulations.
- b. Keep your copy up to date and readily available.
- c. Destroy old copies of superseded Security Regulations.

(FAIM/DIR)

910

POLICY AND PROCEDURAL SECURITY

911 GENERAL POLICY

(TL:CR-129 & SY-9 9-26-85)
(Uniform State/AID/USIA/ACDA/OPIC)

E.O. 12356 (hereinafter called "the Order") recognizes that it is essential that the public be informed concerning the activities of its government, but that the interests of the United States and its citizens require that certain information concerning the national defense and foreign relations be protected against unauthorized disclosure. With this object, the Order prescribes a uniform system for classifying, declassifying, and safeguarding national security information.

The purpose of these regulations is to assist in the implementation of the Order and Information Security Oversight Office (hereinafter referred to as "ISOO"), Directive No. 1, (hereinafter called "the Directive"), and users of these regulations may refer to the Order and Directive for additional guidance. *For additional guidance on security of automated information systems used to process classified information, refer to 5 FAM 800 and specific System Security Standards issued by the Information Systems Security Staff (A/ISS).*

912 IMPLEMENTATION AND OVERSIGHT RESPONSIBILITIES

The Order requires each agency that originates or handles classified information to promulgate implementing regulations. The Order further requires that each agency originating or handling classified material shall designate a senior official to direct and administer its information security program. This official shall be responsible for actively overseeing the Agency's program, including a security education program, to ensure effective implementation of the Order.

In addition, this official shall have the following responsibilities:

a. To establish and monitor Agency policies and procedures to prevent over- or under-classification to ensure the protection from unauthorized disclosure of properly classified information, including intelligence information, and to ensure orderly and effective declassification of Agency documents that no longer require protection in accordance with the terms of the Order.

b. To review proposed classified disclosures of an exceptional nature bearing upon issues of concern to the Congress and the public.

c. To issue any needed guidelines for classification or declassification.

(1) To recommend to the Agency head the following:

(2) Proposals for reclassification in accordance with section 1.6(c) of the Order;

(3) Other categories of information, as defined in section 1.3(a)(10) of the Order, which require protection against unauthorized disclosure but which are not specifically protected by section 1.3(a)(1) through (9) of the Order;

(4) Waivers, for specified classes of documents or information of the requirement to indicate which portions of

documents are classified and which are not, as provided by section 1.5(b) of the Order; and

(5) Waivers for specified classes of documents or information, of the requirement to prepare derivative classification guides, as provided by section 2.2(c) of the Order.

d. To prepare a list of officials, by name or position, delegated Top Secret, Secret, and Confidential classification authority.

e. To receive, and if necessary act on, suggestions and complaints with respect to that Agency's administration of its information security program.

f. To provide guidance concerning corrective or disciplinary action in unusually important cases involving unauthorized disclosure or refusal to declassify.

g. To maintain liaison with the Director of ISOO and to furnish reports and information as required by section 5.2 of the Order.

912.1 Department of State

Within the Department of State, the senior official is the Deputy Assistant Secretary, Classification/Declassification Center, hereinafter referred to as (DAS/CDC).

912.2 AID

Within AID (a component of the International Development Corporation Agency), the senior official is the Inspector General.

912.3 USIA

Within USIA, the senior official is the Director, Office of the Public Liaison.

912.4 OPIC

Within OPIC, the senior official is the Vice President for Personnel and Administration.

912.5 ACDA

Within ACDA, the senior official is the security officer.

913 RESPONSIBILITY FOR SAFEGUARDING CLASSIFIED INFORMATION

913.1 Primary

The specific responsibility for the maintenance of the security of classified information rests with each person having knowledge or physical custody thereof, no matter how obtained.

913.2 Individual

Each employee is responsible for becoming familiar with and adhering to all security regulations.

913.3 Supervisory

The ultimate responsibility for safeguarding classified information rests upon each supervisor to the same degree that the supervisor is charged with functional responsibility for the organizational unit. While certain employees may be assigned specific security responsibilities, such as Top Secret Control Officer or Unit Security Officer, it is nevertheless the basic responsibility of supervisors to ensure that classified material entrusted to their organizational units is handled in accordance with the procedures prescribed in these regulations. Each supervisor should ensure that no one employee

is assigned unreasonable security responsibilities in addition to usual administrative or functional duties.

913.4 Organizational

The Offices of Security in State, AID, USIA, and ACDA are responsible for physical, procedural, and personnel security in their respective Agencies. In the department of State, the Office of Communications (COMSEC) is responsible for communications security. The Office of Personnel and Administration is responsible for physical, procedural, and personnel security at OPIC.

914 through 919 (Unassigned)

920 CLASSIFICATION

921 GENERAL POLICY

(TL:CR-129 & SY-9 9-26-85)
(Uniform State/AID/USIA/ACDA/OPIC)

a. When there is reasonable doubt about the need to classify information, the information shall be safeguarded as if it were "Confidential" pending a determination about its classification by an original classification authority. When there is reasonable doubt about the appropriate classification level, the information shall be safeguarded at the higher level pending the determination of its classification level by an original classification authority. Determinations hereunder shall be made within 30 days.

b. Information may not be classified unless its disclosure reasonably could be expected to cause damage to the national security. Information may not be classified to conceal violations of law, inefficiency, or administrative error; to prevent embarrassment to a person, organization, or agency; to restrain competition; or to prevent or delay the release of information that does not require protection in the interest of national security.

c. The President or an Agency head or official designated under Sections 1.2 (a)(2), 1.2(b)(1), or 1.2(c)(1) of the Order may reclassify information previously declassified and disclosed if it is determined in writing that:

(1) The information requires protection in the interest of national security; and

(2) The information may reasonably be recovered.

These reclassification actions shall be reported promptly to the Director of ISOO.

d. It is permitted to classify or reclassify information after an Agency has received a request for it under the Freedom of Information Act or the Privacy Act, or the mandatory review provisions of the Order, provided that such classification meets the requirements of the Order and is accomplished personally and on a document-by-document basis by the Agency head, the deputy Agency head, the senior official, or an official with original Top Secret classification authority. Every effort should be made to classify properly at the time of origin. When a determination is made that a document requires classification or reclassification, however, all holders of the document should be notified and, in the Department of State, a copy of the classification or reclassification memorandum should be sent to the Foreign Affairs Information Management Center (FAIM). In addition, if the classification or reclassification was done in any office other than the DAS/CDC, that office should send a copy of the pertinent memorandum to the CDC.

e. For the Department of State, these functions will be performed by the DAS/CDC.

f. For AID and OPIC, the function will be performed by the Administrator, and the Vice President for Personnel and Administration, respectively.

g. For USIA, the function will be performed by the Director of Public Liaison.

h. For ACDA the function will be performed by the Deputy Administrative Director;

i. Information classified in accordance with these regulations shall not be declassified automatically as a result of any unofficial publication or inadvertent or unauthorized disclosure in the United States or abroad of identical or similar information.

922 CLASSIFICATION DESIGNATIONS

922.1 Designations of Classifications

Only three (3) designations of classification are authorized: "Top Secret," "Secret," and "Confidential."

922.1-1 Top Secret

Information may be classified "Top Secret" if its unauthorized disclosure could reasonably be expected to cause exceptionally grave damage to the national security. This classification should be used with the utmost restraint.

Examples of "exceptionally grave damage" include armed hostilities against the United States or its allies; disruption of foreign relations vitally affecting the national security; the compromise of vital national defense plans or complex cryptologic and communications intelligence systems; the revelation of sensitive intelligence operations; and the disclosure of scientific or technological developments vital to national security.

922.1-2 Secret

Information may be classified "Secret" if its unauthorized disclosure could reasonably be expected to cause serious damage to the national security. This classification should be used sparingly.

Examples of "serious damage" include disruption of foreign relations significantly affecting the national security; significant impairment of program or policy directly related to the national security; revelation of significant military plans or intelligence operations; and compromise of significant scientific or technological developments relating to national security.

922.1-3 Confidential

Information may be classified "Confidential" if its unauthorized disclosure could reasonably be expected to cause damage to the national security.

Except as otherwise provided by statute, no other terms shall be used to identify classified information. Terms or phrases such as "For Official Use Only" or "Limited Official Use" shall not be used to identify national security information. No other term or phrase shall be used in conjunction with these national security information designations, such as "Secret Sensitive" or "Agency Confidential" to identify national security information.

922.2 Foreign Government Information

If classified by the foreign government, the information shall either retain its original classification or be assigned a U.S. classification designation that will ensure a degree of protection at least equivalent to that required by the entity that furnished the information. If not given a specific classification by the foreign government, the information will be assigned an appropriate classification dependent on the sensitivity of the subject matter and the degree of damage its unauthorized disclosure could reasonably be expected to cause to the national security. Classification designations assigned by the U.S. agency shall be marked on the foreign government information in accordance with the provisions of section 912.

923 REQUIREMENTS FOR CLASSIFICATIONS

With the exception of the Atomic Energy Act of 1954, as amended, these regulations are the only basis for classifying information in the agencies named herein. To be eligible for classification, information must meet the two following requirements:

- a. First, it must deal with one of the following criteria:
 - (1) Military plans, weapons, or operations;
 - (2) The vulnerabilities or capabilities of systems, installations, projections, or plans relating to the national security;
 - (3) Foreign government information;
 - (4) Intelligence activities (including special activities), or intelligence sources or methods;
 - (5) Foreign relations or foreign activities of the United States;
 - (6) Scientific, technological, or economic matters relating to the national security;
 - (7) U.S. Government programs for safeguarding nuclear materials or facilities;
 - (8) Cryptology;
 - (9) Confidential sources; or
 - (10) Other categories of information that are related to the national security and that require protection against unauthorized disclosure as determined by the President or by Agency heads or other officials who have been delegated original classification authority by the President. In the Department of State, the DAS/CDC, as the senior official, shall recommend such other categories of information to the Secretary. Any determination made under this subsection shall be reported promptly to the Director of ISOO.
- b. Second, an official with original classification authority must determine that the unauthorized disclosure of the information, either by itself or in the context of other information, reasonably could be expected to cause damage to the national security. Unauthorized disclosure of foreign government information, the identity of a confidential foreign source, or intelligence sources or methods is presumed to cause damage to the national security.
- c. Certain information that would otherwise be unclassified may require classification when combined or associated with other classified or unclassified information. Classification on this basis shall be supported by a written explanation that, at a minimum, shall be maintained with the file or record copy of the information.

924 CLASSIFICATION AUTHORITY

a. In the Department of State, authority to classify information originally as *Top Secret* may be exercised by the Secretary, the DAS/CDC, as the senior official, and officials to whom the Secretary or the senior official delegate this authority on the basis of their frequent need to exercise such authority. Normally these will not be below the level of Deputy Assistant Secretary in the Department; or chief of mission, *charge d'affaires* or principal officer at an autonomous consular post overseas.

In ACDA, authority to classify information originally as *Top Secret* may be exercised by the Director and those officials to whom the Director delegates this authority on the basis of their frequent need to exercise such authority.

b. Authority for original classification of information as "Secret" may be exercised by officials with *Top Secret* authority, the Administrator of AID, and the Director of USIA. This authority may be delegated to subordinate officials by the Secretary or the senior official in the Department of State, the Director of ACDA, the Administrator of AID, the Director of USIA, or an official with original *Top Secret* classification authority, who may designate in writing, by name or by position, on the basis of a frequent need to exercise such authority. Normally the individual receiving the delegated authority will not be below the level of office director, section head (in a mission abroad), country public affairs officer, or the equivalent.

c. Authority for original classification of information as "Confidential" may be exercised by officials with *Top Secret* or *Secret* classification authority, and the President of the Overseas Private Investment Corporation. This authority may be delegated to subordinate officials by the Secretary or the senior official in the Department of State, the Director of ACDA, the Administrator of AID, the Director of USIA, or an official with original *Top Secret* classification authority, who may designate in writing, by name or by position, on the basis of a frequent need to exercise such authority.

d. Delegated original classification authority at any level may not be redelegated.

e. In the absence of an authorized classifier, the person designated to act for that official may exercise the classifying authority.

f. In the Department of State the Classification/Declassification Center, in AID and ACDA the officer of security, and in OPIC the Vice President for Personnel and Administration, shall maintain a current listing, by classification designation, of the positions of officials carrying original classification authority. The listing shall be reviewed as needed to ensure that such delegations have been held to a minimum, and that officials so designated have a continuing need to exercise such authority.

925 CLASSIFICATION STANDARDS

925.1 Limitations of Classification

A reference to classified documents that does not directly or indirectly disclose classified information may not be classified or used as a basis for classification.

925.2 Duration of Classification

a. Information shall be classified for as long as is required by national security considerations. When it can be determined, a specific date or event for declassification shall be set by the original classification authority at the time the information is originally classified.

b. Information classified under predecessor orders that is not subject to automatic declassification or that is marked for review before declassification shall remain classified until reviewed for declassification.

c. Automatic declassification determinations under predecessor orders shall remain valid unless the classification is extended by an authorized official of the originating Agency. These extensions may be individual documents or categories of information. The Agency shall be responsible for notifying holders of the information of such extensions as soon as possible. The authority to extend the classification of information subject to automatic declassification under predecessor orders is limited to those officials who have classification authority over the information and are designated in writing to have original classification authority at the level of the information to remain classified. Any decision to extend this classification on other than a document-by-document basis shall be reported to the Director of the ISOO.

925.3 Derivative Classification

a. Derivative classification is made by a person, not necessarily having original classification authority, based on an originally classified document or as directed by a classification guide. The derivative classifier may be one who reproduces, extracts, restates, paraphrases, or summarizes classified materials, or applies markings in accordance with source material or a classification guide.

b. Derivative classifiers must respect original classification markings. Only if the derived document, by means of paraphrasing, excising, etc., has clearly lost the original grounds for classification, may its original classification be removed or lowered.

c. Subject to paragraph b, above, markings on derivatively classified material, including declassification instructions, shall be carried forward from the original material, or shall be directed by the classification guide.

d. Agencies with original classification authority, shall prepare classification guides to facilitate the proper and uniform derivative classification of information, except as provided in paragraph g, below. Each guide shall be approved personally and in writing by an official who:

(1) Has program or supervisory responsibility over the information or is the senior Agency official who directs and administers the information security program; and

(2) Is authorized to classify information originally at the highest level of classification prescribed in the guide.

e. Classification guides shall, at a minimum:

(1) Identify or categorize the elements of information to be protected;

(2) State which classification level applies to each element or category of information; and

(3) Prescribe declassification instructions for each element or category of information in terms of (i) a period of

time, (ii) the occurrence of an event, or (iii) a notation that the information shall not be automatically declassified without the approval of the originating agency.

f. Classification guides shall be reviewed at least every 2 years and updated as necessary. Each agency shall maintain a list of its classification guides in current use.

g. Agency heads may, for good cause, grant and revoke waivers of the requirement to prepare classification guides for specified classes of documents or information. In the Department of State, the DAS/CDC, as senior official, shall make recommendations to the Secretary concerning such waivers. In AID, the Inspector General shall make recommendations to the Administrator concerning such waivers. In OPIC, the Vice President, for Personnel and Administration shall make recommendations to the President of OPIC concerning such waivers. In USIA, the Director of the Office of Public Liaison shall make recommendations to the Director concerning such waivers. The Director of ISOO shall be notified of any waivers. The decision to waive the requirement to issue classification guides for specific classes of documents or information should be based, at a minimum, on an evaluation of the following factors:

(1) The ability to segregate and describe the elements of information;

(2) The practicality of producing or disseminating the guide because of the nature of the information;

(3) The anticipated usage of the guide as a basis for derivative classification; and

(4) The availability of alternative sources for derivative-classifying the information in a uniform manner.

926 DECLASSIFICATION, GENERAL

(TL:CR-129 & SY-9 9-26-85)

(Uniform State/AID/USIA/ACDA/OPIC)

926.1 Agency Coordination

Information should be declassified or downgraded as soon as national security considerations permit. Information will be protected in accordance with the provisions of the Order for as long as it meets the classification requirements prescribed by these regulations. Agencies shall coordinate their review of classified information with other Agencies or foreign governments that have a direct interest in the subject matter.

926.2 Authority to Declassify or Downgrade

a. Information shall be declassified or downgraded by the official who authorized the original classification, if that official is still serving in the same position; the originator's successor; a supervisory official of either; or officials delegated such authority in writing by the Agency head or the senior Agency official designated pursuant to section 5.3(a)(1) of the Order. In addition, if the Director of ISOO determines that information is classified in violation of the Order, the Director may require the Agency that classified the information to declassify it. Any such decision by the Director may be appealed to the National Security Council. The information shall remain classified until a decision has been made on the appeal.

b. The Agency shall maintain a current, unclassified listing of officials delegated declassification and downgrading authority.

926.3 Systematic Review For Declassification

a. The Agency may schedule classified records of permanent historical or other value for bulk review for declassification and may either perform such review itself, or may refer the records, together with guidelines for declassification, to the Archivist of the United States for review.

b. For records of the Department of State, a sampling of classified records of permanent value for a given period will be selected by the Office of Historian (PA/HO), and reviewed by the Systematic Review Office of the Classification/Declassification Center. The Systematic Review Office will prepare guidelines, which will be transmitted by the Secretary of State to the Archivist of the United States, not later than February 1, 1983, for use in reviewing the remainder of the permanently valuable classified records of the given period when these records are accessioned to the National Archives.

c. AID will prepare guidelines, and transmit them to the Archivist of the United States not later than February 1, 1983, for use in reviewing permanently valuable classified records that have been accessioned to the National Archives. The Records Management Branch, Communications and Records Management Division (M/SER/MO), is designated as the office responsible for systematic review matters within the Agency. The branch staff will provide assistance to the Archivist in the systematic review process. OPIC will adopt the guidelines prepared by AID for use by the Archivist of the United States.

d. For information concerning records of USIA, contact the Agency's Declassification Officer, Office of Administration.

e. The Agency guidelines will identify categories of information that cannot be automatically declassified but must be reviewed item-by-item to determine if there is a need for continued protection.

f. These guidelines may be authorized by the Agency head for use by other Agencies, in addition to the National Archives, having custody of the originating Agency's classified information of the period covered.

g. These guidelines shall be reviewed and updated every 5 years, unless earlier review is requested by the Archivist.

h. For information concerning records of ACDA, contact the Agency's Declassification Officer, Office of Administration.

i. For foreign government information, the Agency will prepare by February 1, 1983, specific guidelines for systematic review of foreign government information in records accessioned to the National Archives, and will revise such guidelines every 5 years or earlier as requested by the Archivist.

j. The Agency shall be bound by the special procedures for systematic review of classified cryptologic records and classified records pertaining to intelligence activities (including special activities) sources or methods issued by the Secretary of Defense and the Director of Central Intelligence, respectively.

927 MANDATORY REVIEW

Each Agency shall review for declassification any classified information requested, under the Mandatory Review provisions of the Order except as noted in paragraph d. below, provided that:

a. The requester is a U.S. citizen, resident alien, Federal Agency, or State or local government;

b. The request describes the information with sufficient specificity to enable the Agency to locate the records containing the information with a reasonable amount of effort; and

c. The Agency receiving the request is the Agency that originated the information.

d. Foreign Government Information

(1) Except as provided in this paragraph, Agencies shall process mandatory review requests for classified records containing foreign government information in accordance with section 2001.32(a) of the ISOO Directive. The Agency that initially received or classified the foreign government information shall be responsible for making a declassification determination after consultation with concerned Agencies. If the Agency receiving the request is not the Agency that received or classified the foreign government information, it shall refer the request to the appropriate Agency for action. Consultation with the foreign originator through appropriate channels may be necessary prior to final action on the request.

(2) Information requested shall be declassified if it no longer requires protection under the provisions of the Order. It will then be released to the requester unless withholding is otherwise authorized under applicable law, such as the Freedom of Information or Privacy Act. If the information requested cannot be declassified in its entirety, the Agency will make reasonable efforts to release those declassified portions that constitute a coherent segment. Upon the denial of an initial request, the Agency shall also notify the requester of the right of administrative appeal, which must be filed within 60 days of receipt of the denial, and shall enclose a copy of the agency's regulations governing the appeal process.

(3) Initial requests may be addressed to:

(a) Department of State. The Information and Privacy Coordinator, Room 1239, Bureau of Administration, Department of State, Washington, D.C. 20520, with the envelope clearly marked "MANDATORY REVIEW REQUEST."

(b) AID, Director, Office of Public Affairs for AID; Room 4899, 2201 C Street, N.W., Washington, D.C. 20523;

(c) USIA, Freedom of Information and Privacy Act Coordinator, Office of Administration, 1776 Pennsylvania Avenue, N.W., Washington, D.C. 20547;

(d) ACDA, Freedom of Information and Privacy Act Officer, Office of Administration, 320-21st Street, N.W., Washington, D.C. 20451; or

(e) OPIC, Director of Public Affairs, 1129-20th Street, N.W., Washington, D.C. 20527.

e. In responding to mandatory review requests, Agencies shall either make a prompt declassification determination and notify the requester accordingly, or inform the requester of the additional time needed to process the case. Agencies shall make a final determination in 1 year from the date of receipt, except in unusual circumstances.

f. Information originated by a President, the White House Staff, by committees, commissions, or boards appointed by the President, or others specifically providing advice and counsel to a President or acting on behalf of a President is exempted from mandatory review. However, the Archivist of the United States has the authority to review, downgrade, and declassify such information that is under the control of the Administrator of General Services or the Archivist, for example in Presidential Libraries, pursuant to sections 2107, 2107 note, or 2203 of title 44, U.S. Code. The Archivist will consult with Agencies having primary subject matter interest concerning the declassification of the requested material. Any decision by the Archivist may be appealed to the Director of ISOO, with the right of further appeal to the National Security Council. The information shall remain classified pending a prompt decision on the appeal.

g. Requests for classified information not specifically identified as being made under the Mandatory Review provisions of the Order will be processed under the terms of the FOIA, the Privacy Act, or other appropriate procedures.

h. In considering requests for mandatory review, the Agency may decline to review again any request for material that has been recently reviewed and denied, unless the request constitutes an appeal of an initial denial.

i. Mandatory review requests for cryptologic information and information concerning intelligence activities (including special activities) or intelligence sources or methods shall be processed solely in accordance with special procedures is-

sued by the Secretary of Defense and the Director of Central Intelligence, respectively.

j. In response to a request for information under the Freedom of Information Act, the Privacy Act of 1974, or the mandatory review provisions of the Order, an Agency shall refuse to confirm or deny the existence or nonexistence of requested information whenever the fact of its existence or nonexistence is itself classifiable under these regulations.

k. For detailed regulations for the internal processing of mandatory review initial requests and appeals see:

- (1) Department of State, 5 FAM 900, 22 CFR sections 171.22 and 171.60;
- (2) AID, AID Handbook 18, part III, chapter 11;
- (3) USIA, 22 CFR section 503; or
- (4) OPIC, 22 CFR section 706.
- (5) OPIC, Director of Public Affairs, 1129-20th Street, N.W. 20527

928 SCHEDULE OF FEES

For State, see 22 CFR sections 171.5 and 171.13; for AID, see 22 CFR 212/35; for USIA, see 22 CFR section 503.6(c); for ACDA, see 22 CFR section 602.

929 ACCESS BY PRESIDENTIAL APPOINTEES

For procedures of the Department of State, see 22 CFR section 171.25; for procedures of AID, see 22 CFR section 171.25; for procedures of USIA, see 22 CFR section 503; for procedures of ACDA, see 22 CFR section 602; for procedures of OPIC, see 5 FAM 628.

930 MARKING OF DOCUMENTS

931 IDENTIFICATION AND MARKINGS

(TL:CR-129 & SY-9 9-26-85)

(Uniform State/AID/USIA/ACDA/OPIC)

Except in extraordinary circumstances as provided in section 1.5(a) of the Order, or as indicated herein, the marking of paper documents shall not deviate from the following prescribed formats. These markings shall also be affixed to material other than paper documents, or the originator shall provide holders or recipients of the information with written instructions for protecting the information. These markings include one of the three (3) classification levels defined in section 912, the identity of the original classification authority (except as noted under 9.12(b)(ii) below) the agency and office or origin (except as noted under 9.12(b)(ii) below) and the date or event for declassification or the notation "Originating Agency's Determination Required" (OADR).

a. Classification level. The markings "Top Secret," "Secret," and "Confidential" are used to indicate:

(1) that information requires protection as national security; information under the Order;

(2) the highest level of classification contained in a document; and

(3) the classification level of each page and, in abbreviated form, each portion of a document.

931.1 Overall Marking

The highest level of classification of information in a document shall be marked in such a way as to distinguish it clearly from the information text. These markings shall appear at the top and bottom of the outside of the front cover (if any), on the title page (if any), on the first page, and on the outside of the back cover (if any).

931.2 Page Marking

Each interior page of a classified document shall be marked at the top of and bottom either according to the highest classification of the content of the page, including the designation "UNCLASSIFIED" when it is applicable, or with the highest overall classification of the document.

931.3 Portion-Marking

Agency heads may waive the portion marking requirement for specified classes of documents or information only upon a written determination that:

a. There will be minimal circulation of the specified documents or information and minimal potential usage of these documents or information as a source for derivative classification determination; or

b. There is some other basis to conclude that the potential benefits of portion marking are clearly outweighed by the increased administrative burdens. Unless this requirement has been waived, each portion of a document, including subjects and titles, shall be marked by placing a parenthetical designation immediately preceding or following the text to

which it applies. The symbols "(TS)" for Top Secret, "(S)" for Secret, "(C)" for Confidential, and "(U)" for Unclassified shall be used for this purpose. If the application of these symbols is not practicable, the document shall contain a statement sufficient to identify the information that is classified and the level of such classification, and the information that is not classified. If all portions of a document are classified at the same level, it may be marked with a statement to that effect, e.g., "Confidential - Entire Text." If a subject or title require classification, an unclassified identifier may be assigned to facilitate reference.

(1) For the Department of State, the Secretary has waived the portion marking requirement for the following classes of documents under Section 2001.5(a)(3)(i) of the Directive—documents which will have minimal circulation and minimal potential usage as a source for derivative classification:

- (a) documents containing Top Secret information;
- (b) action/information memoranda prepared for Assistant Secretaries and above;
- (c) instructions to posts and negotiation delegations;
- (d) in-house research studies; and
- (e) inter- and intra-office memoranda.

(2) The Secretary has also waived the portion marking requirement for documents, both telegraphic and nontelegraphic, containing foreign government information, under Section 2001.5(a)(3)(ii) of the Directive.

931.4 Omitted Markings

Information assigned a level of classification under predecessor orders shall be considered as classified at the level of classification despite the omission of other required markings. Omitted markings may be inserted on a document by the official specified in Section 3.1(b) of the Order.

931.4-1 Classification Authority

If the original classifier is other than the signer or approver of the document, the identity shall be shown as "CLASSIFIED BY ("identification or original classification authority")."

931.4-2 Agency and Office of Origin

If the identity of the originating agency and office is not apparent on the fact of the document, it shall be placed below the "CLASSIFIED BY" line.

931.4-3 Declassification and Downgrading Instructions

Declassification and, as applicable, downgrading instructions shall be shown as follows:

a. For information to be declassified automatically on a specific date or event: "DECLASSIFY ON: (date)" or "DECLASSIFY ON: (description of event)".

b. For information not to be automatically declassified: "DECLASSIFY ON: Originating Agency Determination Required or OADR".

c. For information to be downgraded automatically on a specific date or upon occurrence of a specific event: "DOWNGRADE TO (classification level) ON (date or description of event)".

931.4-4 Special Markings

a. **Transmittal documents.** A transmittal document shall indicate on its face the highest classification on any information transmitted by it. It shall also include the following or similar instructions:

(1) For an unclassified transmittal document: "UNCLASSIFIED WHEN CLASSIFIED ENCLOSURE IS REMOVED;" or

(2) For classified transmittal document: "UPON REMOVAL OF ATTACHMENTS THIS DOCUMENT IS (classification level of the transmittal document standing alone)."

b. **Restricted Data or Formerly Restricted Data.** Restricted Data and Formerly Restricted Data information shall be marked in accordance with regulations issued under the Atomic Energy Act of 1954, as amended.

c. **Intelligence sources or methods.** Documents that contain information relating to intelligence sources or methods shall include the following markings unless otherwise prescribed by the Director of Central Intelligence: "WARNING NOTICE—INTELLIGENCE SOURCES OR METHODS INVOLVED."

d. **Foreign government information (FGI).** Documents that contain FGI shall include either the marking "FOREIGN GOVERNMENT INFORMATION", or a marking that otherwise indicates that the information is foreign government information.

If the fact that information is foreign government information must be concealed, the marking shall not be used and the document shall be marked as if it were wholly of U.S. origin.

931.5 Electrically Transmitted Information (Messages, Cables)

National security information that is transmitted electrically shall be marked as follows:

a. The highest level of classification shall appear before the first line of text;

b. A "CLASSIFIED BY" line is not required; i.e., name and office of classifier may be omitted; and

c. The duration of classification shall appear as follows:

(1) For information to be declassified automatically on a specific date or event: "DECL: (date)" or "DECL: (description of event)."

(2) For information not to be automatically declassified which requires the originating agency's determination: "DECL: OADR."

(3) For information to be automatically downgraded: "DNG (abbreviation of classification level to which the information is to be downgraded and date or description of event on which downgrading is to occur)."

d. Portion marking shall be as prescribed in Section 9.12(a)(3).

e. Special markings as prescribed in Section 2001.5(e)2, 3, and 4 of the Directive shall appear after the marking for the highest level of classification. These include:

(1) **Restricted Data or Formerly Restricted Data:** Electrically transmitted information containing Restricted Data or Formerly Restricted Data shall be marked in accordance with regulations issued under the Atomic Energy Act of 1954, as amended.

(2) **Information concerning intelligence sources and methods:** "WNINTEL," unless prescribed by the Director of Central Intelligence.

(3) **Foreign government information:** "FGI" or a marking that otherwise indicates that the information is foreign government information.

If the fact must be concealed, the marking shall not be used and the message shall be marked as if it were wholly of U.S. origin.

f. Paper copies of electrically transmitted messages shall be marked as provided in 9.21(a) through (e).

931.6 Changes in Classification Markings

When a change is made in the level or the duration of classified information, all holders of record shall be promptly notified. Holders shall alter the markings to conform to the change, citing the authority for it. If the remarking of large quantities of information is unduly burdensome, the holder may attach a change of classification notice to the storage unit in lieu of the marking action otherwise required. Items withdrawn from the collection for purposes other than transfer for storage shall be marked promptly in accordance with the change notice.

932 TRANSFERRED MATERIAL

a. In the case of classified information transferred in conjunction with a transfer of functions, and not merely for storage purposes, the receiving agency shall be deemed to be the originating agency for purposes of the Order.

b. In the case of classified information that is not officially transferred as described in Section 3.2(a) of the Order, but that originated in an agency that has ceased to exist and for which there is no successor agency, each agency in possession of such information shall be deemed to be the originating agency for purpose of the Order. Such information may be declassified or downgraded by the agency in possession after consultation with any other agency that has an interest in the subject matter of the information.

c. Classified information accessioned into the National Archives of the United States shall be declassified or downgraded by the Archivist of the United States in accordance with the Order, the Directive, and agency guidelines.

933 MARKING CLASSIFICATION STATUS OF DOCUMENTS

933.1 Overall Classification and Page Marking

Except as otherwise specified for working papers, the overall classification of a document, whether or not permanently bound, or any copy or reproduction, shall be conspicuously marked, stamped, or affixed permanently at the top and bottom on the outside of the front cover (if any), on the title page (if any), on the first page, and on the outside of the

back cover (if any). Each interior page shall be marked top and bottom according to its content. Alternatively, the overall classification of the document may be conspicuously marked or stamped at top and bottom of each interior page when such marking is necessary to achieve production efficiency and the particular information to which classification is assigned is otherwise sufficiently identified. In any case, the classification marking of a page shall not supersede the classification marking of portions of the page marked with lower levels of classification.

933.2 Working Drafts

All working drafts must be marked with the appropriate classification. If copies are to be retained after finalization, then drafts must contain all markings shown on final copies.

933.3 Wholly Unclassified Material

Normally, unclassified material shall not be marked or stamped "Unclassified" unless it is essential to convey to a recipient of such material that it has been examined with a view to imposing a security classification and that it has been determined that it does not require classification.

934 MARKING GROUPS OF DOCUMENTS

934.1 Transmittal Documents

A transmittal document, including endorsements and comments when such endorsements and comments are added to the basic communication, shall carry on its face a prominent notation as to the highest classification of the information transmitted by it, and a legend showing the classification, if any, of the transmittal document, endorsement, or comment standing alone. For example, in the case of an unclassified document which transmits as an attachment, a classified document, it shall bear a notation substantially as follows: SECRET, (TOP SECRET or CONFIDENTIAL), Unclassified When Separated From Attachment.

934.2 Physically Connected Documents

The classification assigned to a file or group of physically connected documents must be as high as that of the most highly classified document in it. Documents separated from the file are handled in accordance with their individual classification. A cover sheet, OF-124, Classified or Controlled File, may be placed on the front of each file or group of physically connected documents, marked to indicate the highest classification it covers, or the front and back of the folder must be stamped or marked according to the highest classification of the combined information contained in it.

934.3 Limited Use of Posted Notice of Large Quantities of Material

When the volume of material is such that prompt re-marking of each classified item could not be accomplished without unduly interfering with operations, the custodian may, upon approval from the Office of Security, attach downgrading, declassification, or upgrading notices to the storage unit in lieu of the re-marking otherwise required. Each notice shall indicate the change, the authority for the action, the

date of the action, the identity of the person taking the action, and the storage units to which it applies. When individual documents or other material are withdrawn from such storage units, they shall be promptly re-marked in accordance with the change, or if the documents have been declassified, the old markings shall be cancelled.

935 MARKING ON SPECIAL CATEGORIES OF MATERIAL

Security classification and declassification instructions assigned by the classifier shall be conspicuously stamped, printed, written, painted, or affixed by means of a tag, sticker, decal, or similar device, on classified material other than paper copies of documents, and on containers of such material, if possible. If marking the material or container is not practicable, written notification of the security classification and declassification instructions shall be furnished to recipients. The following procedures for marking various kinds of material containing classified information are not all inclusive and may be varied to accommodate the physical characteristics of the material containing the classified information and with organizational and operational requirements.

935.1 Charts, Maps, and Drawings

Charts, maps, and drawings shall bear the appropriate classification marking under the legend, title block, or scale, in a manner that differentiates between the overall classification of the document and the classification of the legend or title itself. The higher of these markings shall be inscribed at the top and bottom of each such document. When folding or rolling charts, maps, or drawings would cover the classification markings, additional markings shall be applied that are clearly visible when the document is folded or rolled.

935.2 Photographs, Films, and Recordings

935.2-1 Photographs

Negatives and positives shall be marked with classification markings and kept in containers bearing conspicuous classification markings. Roll negatives shall be marked at the beginning and end of each strip and single negatives marked with the classification. Each photographic print shall be marked with the classification at the top and bottom of the face side and, where practicable, the center of the reverse side. Caution must be exercised when using self-processing film or paper to photograph or reproduce classified material, since the negative of the last exposure may remain in the camera. All component parts of the last exposure shall be removed and destroyed as classified waste or the camera shall be protected as classified material.

935.2-2 Transparencies and Slides

Classification markings shall be shown on each transparency or slide. Other markings, when practical, shall be shown on the border, holder, or frame.

935.2-3 Motion Picture Films

Classified motion picture films shall be marked at the beginning and end of each reel by titles bearing the classification. Such markings shall be visible when projected on the screen. Reels shall be kept in containers bearing conspicuous classification markings.

935.2-4 Recordings

Recordings, sound or electronic, shall contain at the beginning and end a statement of the assigned classification which will provide adequate assurance that any listener or receiver will know that classified information of a specified level of classification is involved. Recordings shall be kept in containers or on reels that bear conspicuous classification markings.

935.2-5 Microforms

Microforms are images, usually produced photographically on transparent or opaque materials, in sizes too small to be read by the unaided eye. Accordingly, the assigned security classification and abbreviated downgrading (if applicable) and declassification instructions shall be conspicuously marked on the microform medium or its container, so as to be readable by the unaided eye. These markings shall also be included on the image so that when the image is enlarged and displayed or printed, the markings will be conspicuous and readable. Further marking and handling shall be as appropriate for the particular microform involved. For example, roll film microforms (or roll microfilm employing 16, 35, 70, or 105 mm films) may generally be handled as provided for roll motion picture film and decks of "aperture cards" may be handled as provided for decks of accounting machine punched cards. Whenever possible, microfiche, microfilm strips, and microform chips shall be handled in accordance with this paragraph.

935.3 Decks of Accounting Machine Punched Cards

A deck of classified accounting machine punched cards may be considered as a single document. Only the first and last card require classification markings. An additional card shall be added (or the job control card modified) to identify the contents of the deck (at a minimum, the number of cards) and the highest classification therein. Alternatively, a manual log for decks undergoing frequent changes may be employed. Cards removed for separate processing or use and not immediately returned to the deck shall be protected to prevent compromise of any classified information contained therein, and for this purpose shall be marked individually.

935.4 Removable Automatic Data Processing and Word Processing Storage Media

Removable information storage media, employed with automatic data processing (ADP) systems and typewriters or word processing systems, shall bear external markings and internal notations sufficient to assure that any recipient of the media, or of the classified information contained therein

when reproduced by any means, will know that classified information of a specific classification level is involved. This category media and devices that store digitally recorded information are generally intended to be mounted or removed by the users or operators. Examples include magnetic tape reels, cartridges and cassettes, removable discs, disc cartridges, disc packs and diskettes, paper tape reels, and magnetic cards. Once a piece of removable magnetic storage media has been used for the processing of classified information, it will always be treated and protected as classified until sanitized by an approved method. *Systems Security Standard Numbers 1 and 2 contain specific guidelines for marking classified magnetic storage media.*

935.5 Nondemountable Data and Program Storage Media

All nondemountable data and program storage media, such as Winchester type disk units, used for the processing of classified data must be treated as classified unless declassified with approved methods or techniques. When removed from operational use such storage media will be marked with the appropriate external classification.

935.6 Documents Produced by ADP Equipment

At a minimum, the first page, and the front and back covers, if any, of documents produced by ADP equipment shall be marked with the overall classification. Classification markings of interior pages may be applied by the ADP equipment or by other means. When the application of declassification instructions and other markings by the ADP equipment is not consistent with economic and efficient use of such equipment, such instructions and markings may be applied to a document produced by ADP equipment by superimposing upon the first page of such document a "Notice of Declassification Instructions and Other Associated Markings." Such notice shall include the date for declassification or review for declassification and all other such applicable markings. If individual pages of a document produced by ADP equipment are removed or reproduced for distribution to other users, each such page or group of pages shall be marked by superimposing on each such page or group of pages, a copy of any "Notice of Declassification Instructions and Other Associated Markings" applicable to such page or group of pages.

935.7 Material for Training Purposes

In utilizing unclassified documents or material to simulate classified documents or material for training purposes, such documents or material shall be marked "(insert classification designation) for training, otherwise Unclassified."

936 through 939 (Unassigned)

940

ACCESS TO CLASSIFIED INFORMATION AND MATERIAL

941 GENERAL ACCESS REQUIREMENTS

(TL:CR-129 & SY-9 9-26-85)
(Uniform State/AID/USIA/ACDA/OPIC)

No person may be given access to classified information unless that person has been determined to be trustworthy and unless access is necessary for the performance of official duties. Access to classified information shall be granted in accordance with the following:

941.1 Determination of Trustworthiness

No person shall be given access to classified information unless a favorable determination has been made as to the person's trustworthiness. The determination of eligibility, referred to as a security clearance, shall be based on such investigations as the agency may require in accordance with the applicable standards and criteria. Special and specifically authorized clearances are required for access to information identified as Restricted Data, COSMIC, NATO, Cryptographic, Intelligence, and other information given special protection by law or regulation.

941.2 Determination of Need-to-Know

A person is not entitled to receive classified information solely by virtue of official position or by virtue of having been granted a security clearance. A person must also have a need for access to the particular classified information sought in connection with the performance of official Government duties or contractual obligations, or as otherwise specifically authorized by these regulations. The determination of that need shall be made by officers having responsibility for the classified information.

942 ACCESS BY HISTORICAL RESEARCHERS AND FORMER PRESIDENTIAL APPOINTEES TO AGENCY FILES

a. As agency records for a particular period are declassified, they are transferred to the National Archives. Historical researchers, therefore, will normally be referred to the National Archives for research in such declassified records.

b. For the Department, former Presidential appointees may apply to the *Information and Privacy Coordinator* for access to those documents which they originated, reviewed, signed, or received while serving as Presidential appointees, provided that all of the following conditions are satisfied.

(1) A determination has been made that granting access to the intended recipient is consistent with the interests of national security and that the intended recipient is trustworthy. Access will be limited to categories of information over which the agency has classification jurisdiction.

(2) The intended recipient agrees in writing to safeguard the information from unauthorized disclosure in a manner consistent with applicable statutes and regulations.

(3) The intended recipient agrees in writing to authorize the review of notes and manuscripts for the purpose of determining that no classified information is contained therein.

(4) The information involved will not be further disseminated without the express permission of the agency.

(5) The information requested is reasonably accessible and can be located and compiled with a reasonable amount of effort. Otherwise, fees will be charged to assemble the information, in accordance with the schedule in 22 CFR 6.14.

(6) Any individual or research assistant requiring access in behalf of the intended recipient must also meet all of the above conditions. Such personal assistants must be authorized to be working for the former appointee exclusively and not gathering information for publication on their own.

(7) Information compiled by research assistants are similarly subject to all conditions identified above.

(8) Upon request, such information as the recipient may identify will be reviewed for declassification in accordance with the provisions of these regulations.

c. For USIA, former presidential appointees and historical researchers may apply to the Office of Public Liaison.

d. For AID, former presidential appointees and historical researchers may apply to the Office of Public Affairs.

e. For ACDA, see 22 CFR, Section 602.

f. For OPIC, former presidential appointees and historical researchers may apply to the Director of Public Affairs.

943 ACCESS BY OTHER PERSONS OUTSIDE THE EXECUTIVE BRANCH

Release of classified information to Congress shall be approved and coordinated in the Department by the Office of Congressional Relations, the Office of Security, and the Classification/Declassification Center; in USIA by the Office of Public Liaison; in OPIC by the Director of Public Affairs; and in AID by the Office of Legislative Affairs, Congressional Liaison Staff.

Subject to the above paragraph and sections 942 and 944, classified material will not normally be released to persons outside the Executive Branch of the U.S. Government. However, exceptions may be made provided that all the conditions in section 942 are satisfied.

944 ACCESS BY CONTRACTORS OR CONSULTANTS

By agreement, the Secretary of Defense is authorized to act on behalf of the Department of State, USIA, OPIC, and AID in rendering industrial security services. The Office of Security will verify those contractor firms and personnel having current clearances to participate in classified contracts or purchase orders. A pamphlet outlining procedures required for classified contracts performance is available from the Office of Security.

Agency employees are personally responsible for obtaining clearance from the Office of Security prior to release of classified material to a consultant or contractor. For requirements for storage of classified material by persons not regular employees, see section 971.4.

945 ACCESS BY FOREIGN NATIONAL EMPLOYEES

Classified information must not be made available to, or left in the custody of, foreign national employees. Such employees will not be permitted to attend meetings where classified information is discussed except as may be specifically approved by the Office of Security.

Classified information must not be dictated to or typed by foreign national employees. This restriction must not be circumvented by the assignment of classification after such an employee has prepared a particular document. However, when warranted, information collected by foreign national employees and prepared in report form by them may then be classified. National Security information must not be entered into a word or data processing system to which foreign nationals have access. The limitation against retroactively

classifying data also applies to any document prepared on an automated information system used by foreign nationals.

946 AUTHORIZATION FOR LIMITED ACCESS

When foreign national employees obtain information from privileged sources or otherwise develop information warranting an administrative control designation, or must be given access to administratively controlled information originated elsewhere in order to perform their official duties, they may be authorized limited access to such information provided that:

a. The foreign national employee's U.S. citizen supervisor requests, in writing, authority to permit access to administratively controlled information, specifying the reasons the employee must have access in order to perform official duties and describing the categories of information contemplated for access.

b. The regional security officer examines the request, and, if concurring, issues a memorandum of limited access, recommending approval to the principal officer.

c. The principal officer must authorize the limited access in writing. Such authority shall be reviewed by each succeeding principal officer, and the officer shall affirm or discontinue such authority as the officer deems appropriate.

d. The employee's access is not construed to mean blanket authority to receive administratively controlled information. Foreign national employees authorized to have access to administratively controlled information shall be permitted access only to that type of information specified in item (a) of this section on a strict "need-to-know" basis.

947 through 949 (Unassigned)

950

CONTROLLING OFFICIAL DISSEMINATION

951 OTHER FEDERAL AGENCY INFORMATION

(TL:CR-129 & SY-9 9-26-85)
(Uniform State/AID/USIA/ACDA/OPIC)

Classified information that originated in another agency must not be communicated outside the receiving agency without the consent of the originating agency. For these purposes, State, USIA, OPIC, ACDA, and AID are to be considered separate agencies. Such approval must be obtained in writing, and a record of the approval and communication must be maintained by the communicator.

952 DISTRIBUTION TO OTHER AGENCIES

Classified information may be sent to other agencies only through established liaison or distribution channels.

953 CONTROLS FOR DISSEMINATION AND USE OF INTELLIGENCE INFORMATION

953.1 Intelligence Documents

Information contained in intelligence documents, including those produced by the Bureau of Intelligence and Research (INR), that is marked with specific control markings must be handled within the framework of the limitations imposed by such controls. For details and definitions of these controls, refer to 11 FAM 418.

Failure to comply with these provisions will be considered a violation to be handled as prescribed under section 994.

953.2 Dissemination of Intelligence Information

Information bearing the notation "WARNING NOTICE - INTELLIGENCE SOURCES AND METHODS INVOLVED", shall not be disseminated in any manner outside authorized channels without the permission of the originating agency and an assessment by the senior intelligence official in the disseminating agency as to the potential risks to the national security and to the intelligence sources and methods involved.

In general, telegrams and other documents originating in the Department of State which include or refer to classified intelligence information should be cleared with INR/DOC/OIL/CS.

953.3 Special Access Program

The access, distribution, and protection of particularly sensitive classified information controlled under special access programs established pursuant to section 4-2 of the Order shall be carried out according to the special procedures of those programs.

954 DISSEMINATION ORDERED OR REQUESTED BY A COURT OF LAW OR OTHER OFFICIAL BODY

a. Any subpoena, demand, or request for classified information or records from a court of law or other official body shall be handled in accordance with agency regulation (State, 5 FAM 485; USIA, MOA III 527 and 625.6).

b. Testimony involving classified information is subject to the procedures for responding to subpoenas and must not be given before a court or other official body without the approval required by those procedures. An employee called upon to give such testimony without prior authorization shall state that to disclose the information desired is not authorized and that a written request for the specific information should be transmitted to the head of the agency concerned. Such testimony, when so approved, shall be given only under such conditions as the authorizing officer may prescribe.

c. All reports, records, and files relative to the loyalty of employees or prospective employees (including reports of investigative agencies) shall be maintained in confidence, and shall not be transmitted or disclosed except as required in the efficient conduct of business, and then only in accordance with applicable regulations.

955 DISSEMINATION TO FOREIGN GOVERNMENTS

955.1 Dissemination of Classified Information to Foreign Governments and International Organizations

For detailed instructions governing the release of classified information to foreign governments and international organizations, see 11 FAM 500.

955.2 Disclosure of Classified Military Information to Foreign Governments and International Organizations

The National Disclosure Policy Committee establishes the procedures governing the release of classified military information to foreign governments and international organizations.

All requests for the release of such information shall be directed to the National Military Information Disclosure Policy Committee (NDPC), Director, Office of Munitions Control Bureau of Politico-Military Affairs, U.S. Department of State, Washington, D.C. 20520. (See also 11 FAM 533.2.)

955.3 Disclosure of Communications Security Information to Foreign Governments and International Organizations

The National Communications Security Committee (NCSC) establishes the national policy governing the release of communications security information and the procedure to be followed when communications security assistance is requested by foreign governments and international organizations. Requests for such communications security assistance or advice must be referred to the Deputy Assistant Secretary for Communications (Department of State member of the NCSC).

956 SPECIAL DISSEMINATION CATEGORIES

956.1 Crypto Marking

A designation or marking of "CRYPTO" is applied to cryptographic material, indicating that it requires special consideration with respect to access, storage, handling, and accounting. Regulations and procedures governing use and disposition of material so marked are established by the Communications Security Division, as indicated in section 980 and documented in communications security publications.

956.2 Authorized Special Distribution Captions

956.2-1 NODIS

"NO DISTRIBUTION (NODIS)" means no distribution to other than addressee without the approval of the Executive Secretary. This caption is used only on messages of the highest sensitivity between the President, the Secretary of State, and chiefs of mission.

956.2-2 EXDIS

"EXCLUSIVE DISTRIBUTION (EXDIS)" means distribution exclusively to officers with essential need-to-know. This caption is used only for highly sensitive traffic between the White House, the Secretary, the Under Secretaries, and chiefs of mission.

956.2-3 LIMDIS

"LIMITED DISTRIBUTION (LIMDIS)" means distribution strictly limited to officers, offices, and agencies with need-to-know. This caption is reserved for messages of more than usual sensitivity.

956.2-4 STADIS

"STATE DISTRIBUTION only (STADIS)" precludes initial distribution to other Federal agencies and is used when disclosure of certain communications to other agencies would be prejudicial to the best interests of the Department of State. This caption may be used in conjunction with the captions "EXDIS" and "LIMDIS."

For details regarding caption messages, see 5 FAM 212.

956.2-5 DIRDIS (USIA)

For sensitive communications between the Director or Deputy Director and the Ambassador, Country PAO, or Head of Media Extension. It is not to be used for direct communication to any other officer in the agency or the field. Only the Director and Deputy Director are authorized to approve its use on outgoing messages from Washington. Only the Ambassador, CPAO, or Head of Media Extension may use this channel in the field to communicate with the Director or Deputy. DIRDIS telegrams must be marked at least Limited Official Use (LOU), or classified as security warrants. Use of this caption bars the automatic distribution procedures.

956.2-6 SPECDIS FOR (USIA)

(Name of appropriate Country PAO or Media Extension Head overseas and the appropriate Associate Director or Director of Office or Service in Washington.) It is for sensitive communications between individual Associate Directors or Directors of USIA Offices and Service in Washington and the Country PAOs and Media Extension Heads in the field. *SPECDIS FOR cannot be used to direct communications to any other officer in the field.* Only Associate Directors or Directors of Offices and Services are authorized to use this caption in Washington. Only the CPAO or Media Extension Head may use this channel in the field to communicate with Associate Directors and Directors of Offices and Services. *SPECDIS FOR telegrams will be distributed only to the addressee and the Director's office.* *SPECDIS FOR must be marked LOU or classified as security warrants.* Use of this caption bars automatic distribution procedures.

957 RESTRICTIONS ON PERSONAL USE

957.1 Personal Interests

Classified information must not be used for personal interests of any employee and must not be entered in personal diaries or other nonofficial records.

957.2 In Conversation

The discussion of classified information must not be held in the presence or hearing of persons who are not authorized to have knowledge thereof.

Classified information must not be discussed in conversations on telephones or office intercoms, except as may be authorized over approved secure communications circuits.

958 ADMINISTRATIVELY CONTROLLED INFORMATION

958.1 Designation

Certain sensitive official information and material which is not national security information and therefore, is not classifiable, nevertheless warrants a degree of protection. Such information or material may include, among other things, information received through privileged sources and certain personnel, medical, investigative, commercial, and financial records. Material of this type which requires limited dissemination shall be designated and marked Limited Official Use by any official having signing authority for the material. Such material shall be physically handled and transmitted as if it

were "Confidential" and stored, as a minimum, in a barlock cabinet. The automated processing of Limited Official Use information must be accomplished in such a way as to minimize the potential for unauthorized access to this information. Responsible supervisors will assure that such automated processing is accomplished in compliance with established Departmental automation security guidelines.

958.2 Decontrol

Unless otherwise provided, administratively controlled information shall be automatically decontrolled 4 years from its date of origin. If protection is not required for that period of time, the official designating a document "Limited Official Use" shall specify on the document that it shall be decontrolled upon the occurrence of a specified event, removal of controlled attachments, or a passage of an appropriate period of time not to exceed 4 years. If protection is required for a period longer than 4 years, the official designating the document "Limited Official Use" shall specify that it is exempted from automatic decontrol. Information and material not exempted by statute may be exempted from automatic decontrol only with the approval of an official authorized to classify information at any level.

If at any time, material designated Limited Official Use is requested under the Freedom of Information Act or Privacy Act it shall be reviewed and a determination made on its release according to the provisions of those Acts.

958.3 Decontrol Notations

Administratively controlled information and material shall be marked with the Limited Official Use designation in the same manner as classification markings are applied. Unless the document is being automatically decontrolled at 4 years, a decontrol notation shall be placed as the last line of airgrams and telegrams, or on other documents on the bottom of the front page.

Information which may be decontrolled upon conclusion of a specific date, action, or event earlier than 4 years shall read "Decontrol on _____".

Certain information or material which is exempt from automatic decontrol by statute should be marked as follows:

"Exempt from Automatic Decontrol
by Statute"

In rare instances where information or material designated "Limited Official Use" is not exempt by statute or decontrolled on an earlier date or event but requires protection for a period longer than 4 years, the official designating the material "Limited Official Use" shall mark it as follows:

"Exempt from Automatic Decontrol;
Authorized by _____"

In the latter category, information and material may be exempted from automatic decontrol with the approval of any official authorized to classify information.

959 (Unassigned)

960

TRANSMISSION AND CONTROL OF CLASSIFIED MATERIAL

961 TOP SECRET CONTROL PROCEDURES

(TL:CR-129 & SY-9 9-26-85)
(Uniform State/AID/USIA/ACDA/OPIC)

961.1 Requirements

The designation of Top Secret control officers is required by the Order to provide positive control over the movement, use, and disposition of all Top Secret documents, to include those resident on automated information systems. The use of Top Secret cover sheets (OF-115) and a system of Top Secret control numbers and receipt are prescribed to insure that Top Secret documents are fully accounted for at all times, and that information is available on the identity of each person who has had access. (See Appendix VI for List of Security Forms.)

961.1-1 Designation of Top Secret Control Officers

a. At Post

At each overseas post, a Top Secret control officer and an alternate will be designated in writing to exercise control and maintain accountability records of material classified Top Secret (except COMSEC) in the custody of the post. The designated Top Secret control officer must be a senior officer at the post who can make the operational decisions concerning the use, storage, and distribution of the Top Secret material. The designated alternate is usually the communications and records supervisor due to the custody and storage requirements for Top Secret material. When Top Secret control officers and alternates are designated by the principal officer, no action other than written notification to the regional security officer is required. The written notification should include the names and functional titles of the designees and the date of designation. In the event that Top Secret material is entered into an automated information system at any post, the System Manager/Security Officer will function as the Top Secret Control Officer for this automated information system.

b. Domestic

The executive director of each bureau will designate in writing a Top Secret control officer and an alternate to exercise control and maintain accountability records of material classified Top Secret in the custody of the Bureau. The designated Top Secret control officer will be a senior grade officer of the bureau who can control the dissemination and storage of the material. Designated bureau Top Secret control officers may, with the concurrence of the Office of Security, designate unit Top Secret control officers to aid them in the control and storage of Top Secret material in the various sections of the bureau, if operational necessity or physical locations require such additional designations. The bureau

Top Secret control officer will have primary responsibility for the accountability of all material and records within the bureau, to include Top Secret information resident on automated information systems operated by a bureau or office. When bureau Top Secret control officers and alternates are designated by the executive director, or unit Top Secret control officers are designated by the bureau Top Secret control officer, a copy of the designation including names, functional titles, area, room number, and telephone number will be furnished to A/SY/OPS/DO. In AID, a central Top Secret control officer is located within the Office of the Executive Secretary. The central Top Secret control officer maintains lists of bureau Top Secret control officers and coordinates the annual inventory. In ACDA, the Top Secret control officer is located within the Office of Administration, Communications and Services Division.

c. In USIA

In USIA, Top Secret control officers and alternates will be designated only by the office head in the Office of Security (M/S), the Executive Secretariat (D/S), and the Communications Division (M/TC). All Top Secret documents will be permanently stored and distributed for operational use under the control of one of these three Top Secret control officers. The Top Secret control officer for M/S will maintain central accountability records for all documents (except COMSEC), including those stored under the operational control of the other two Top Secret officers.

961.1-2 Duties of Top Secret Control Officers

- a. Maintain strict accountability over Top Secret material while under their jurisdiction.
- b. Receive, store, issue, copy, and destroy all Top Secret material within their jurisdiction.
- c. Maintain a permanent register to account for all Top Secret material either originated in or received in the area (using OF-123, Top Secret Document Inventory Record and OF-115, Top Secret Cover Sheet).
- d. Maintain receipts of outgoing or destroyed Top Secret material on OF-112, Classified Material Receipt.
- e. Review and change classification on Top Secret documents as directed by regulation or markings.
- f. Destroy or arrange for retirement of Top Secret material as required by regulation or document markings.
- g. Complete annual inventories no later than October 31 and submit report to the cognizant regional security officer for overseas posts and A/SY/OPS/DO for domestic service. In AID, reports are submitted to the central Top Secret control officer with a copy to the Office of Security.
- h. Assign appropriate Top Secret control numbers to Top Secret documents originating in or received within their area without a control number. In AID, the central Top Secret control officer assigns all control numbers.

i. Allow no copy of a Top Secret document to be made without the permission of the originating office.

j. Insure all Top Secret material is stored according to these regulations (see section 971.2).

k. Insure that each individual who has access to the Top Secret document signs the Top Secret Cover Sheet.

l. Review each Top Secret document during the inventory periods with view toward possible destruction of the document.

m. Assure that no individual within area of jurisdiction transmits Top Secret documents to another individual or section without the knowledge and consent of the Top Secret control officer.

n. Assure compliance with automation security policies governing the control and protection of Top Secret information resident on automated information systems.

961.1-3 Additional Duties of Top Secret Control Officers in USIA

a. In USIA, the Top Secret control officers also permanently store Top Secret documents under their immediate supervision and control and monitor the handling of documents when they are distributed for operational use, as follows:

(1) M/S—Office of Security: Maintains central accountability records for all Top Secret documents (except COMSEC). Permanently stores and distributes for operational use Top Secret documents other than certain classes of information which are retained by D/S (Executive Secretariat) and M/T/C (Communications Division) for permanent storage;

(2) D/S—Executive Secretariat: Permanently stores and distributes for operational use any Top Secret document which in the judgment of D/S should be readily available to the Director; and

(3) M/T/C—Communications Division: Permanently stores and distributes for operational use any Top Secret document which in the judgment of M/T/C relates primarily to communications security matters under the responsibility of the agency's COMSEC officer.

b. The Top Secret control officer for M/S, D/S, or M/T/C will determine how long a document may be retained by an operational element prior to its return for permanent storage. Periods greater than 3 weeks must be specifically authorized by the Top Secret control officer and may not exceed 8 weeks without being returned to the Top Secret control officer for visual accountability prior to reissuance. All Top Secret documents must be returned to the Top Secret control officer for annual inventory on October 31 each year.

961.1-4 Inventories of Top Secret Documents

The Top Secret control officers will conduct inventories upon change of custody and conduct an annual inventory to be completed as of October 31. It is mandatory that the presence of each document be physically verified. A report of the inventory is prepared on the Top Secret Document Inventory Record, OF-123. Any documents unreconciled at the time of the inventory must be reported immediately to the Office of Security.

Top Secret control officers will be held ultimately responsible for any loss of Top Secret documents under their jurisdiction which has been caused by improper administration of these requirements.

If another individual of the area is directly responsible for the loss of any Top Secret material, that person will be held responsible for the loss of the information.

961.2 Top Secret Control Numbers

961.2-1 Required Assignment of Top Secret Control Numbers

A Top Secret control number must be marked at the top right hand front of each copy of each Top Secret document when originated or received. Draft copies should be destroyed when a final version is reproduced and distributed. If it is necessary to retain a draft copy because of draft clearances or for other reasons, it should be assigned the original series designation control number and a copy number.

Top Secret control numbers are also used on forms required for the control of Top Secret information, such as, Top Secret Cover Sheet, OF-115; Classified Material Receipt, OF-112; and Top Secret Document Inventory Record, OF-123.

961.2-2 Composition of Top Secret Control Numbers

A Top Secret control symbol belongs to the post or organizational element. Each successive Top Secret control officer shall use the same post or organizational element symbol. Control symbols are located in Appendix V.

The Top Secret control number consists of the control symbol, the last two digits of the calendar year, the consecutive number of the Top Secret document originated or received that year, the series letter, and the copy number. For example:

a. At Posts

If the Top Secret control number is LND-79/18-A/3:LND is the Top Secret control symbol for London; 79 indicates the calendar year; 18 indicates the 18th Top Secret document either originated or received at post that year; A is the series designation; 3 is the 3rd copy in that series.

b. Department

If the Top Secret control number is EUR-79/38-A/8:EUR is the Top Secret control symbol for the Bureau of European Affairs; 79 indicates the calendar year; 38 indicates the 38th Top Secret document either originated or received in EUR that year; A is the first reproduction of the document in EUR; and 8 is the 8th copy in that series.

961.2-3 Assigning Top Secret Control Numbers

a. Upon origination, or receipt without a Top Secret control number, of a Top Secret document at a post or in a unit, the Top Secret control officer must immediately assign the post or unit Top Secret control number on the document and complete Top Secret Cover Sheet to be affixed to the documents. In AID, these functions are reserved solely to the central Top Secret control officer.

b. In USIA, each domestic element receiving a Top Secret document not previously entered into agency accountability records, or which produces a Top Secret document by derivative classification marking (except COMSEC) shall immediately inform the Top Secret control officer of M/S and identify the document so that central accountability recorda-