

STATE-47

System name:

Senior Personnel Appointments Records.

Security classification:

Unclassified.

System location:

Department of State; 2201 C Street, NW;
Washington, DC 20520.

Categories of individuals covered by the system:

Individuals--career members of the Foreign Service and non-career persons from outside the Department of State--who have been selected for a Presidential appointment or title. Appointments/titles include: Chiefs of mission, ranks and personal ranks of ambassador, principal officers of the Department of State, representatives and alternate representatives to the annual United Nations (UN) General Assembly and to the annual General Conference of the International Atomic Energy Agency. In addition, selectees who serve in Presidential appointed positions as representatives or alternate representatives on various UN boards and commissions such as the UN Human Rights Commission, the UN Commission on the Status of Women and UNICEF, and commissioners of the various international fisheries commissions are covered.

Authority for maintenance of the system:

22 U.S.C. 2651a (Organization of the Department of State); 22 U.S.C. 3921 (Management of the Foreign Service); and 5 U.S.C. 301 (Management of the Department of State).

Categories of records in the system:

Appointment documents are maintained first in a working file and, once appointed, the individual's material is moved to a country or position file. At the completion of the appointment, the documents are moved to a name-retrievable file. The files contain documents pertaining to an individual's Presidential appointment. Specifically, they include: Director General welcome/congratulatory letter; Candidate Information Summary; security clearance forms; a White House Personal Data Statement; Questionnaire for Sensitive Positions; Consumer Credit Check form; Financial Disclosure Report; Office of the Legal Adviser's certification of financial disclosure report; Congressional forms (Senate Foreign Relations Committee form, Federal Campaign Contribution Report); biographic summary; White House press release; agreement telegrams (if bilateral ambassadorial positions); memoranda to the Office of Legislative Affairs transmitting Congressional documents; copies of letters to home State Senators and to members of the Senate Foreign Relations Committee; nomination papers for the White House (transmittal memorandum, biographic summary, nomination, and a competence statement required under section 304(a)(4) of the Foreign Service Act); correspondence and/or e-mail exchanges with the individual regarding appointment processing; memoranda to the regional bureaus concerning selection and nomination; memoranda and

appointment documents concerning federal employment for non-career selectees; resignation letters and responses from the President; official appointment notice prepared following Presidential attestation of an appointment; copies of memoranda, if applicable, concerning recall to the Foreign Service, waiver of the mandatory Foreign Service retirement age requirement, and termination of Chief of Mission services pursuant to section 401(b) of the Foreign Service Act. Accreditation documents are maintained in the country files for bilateral and multilateral chiefs of mission. These documents consist of: A Presidential letter of responsibility, a Secretary of State administrative letter of instruction; copies of the Letters of Credence and Recall which are presented to the host government or secretariat of a multilateral organization.

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

The documents noted above that are contained in the appointment files are used for the clearance and appointment of an individual to a Presidential position/title. Specifically,

--The original of the White House Personal Data Statement is sent to the White House Counsel's office for processing. Originals of a Tax Check Waiver, Acknowledgment/Consent memorandum, a FBI name check form and a FBI full field security form when the appointment is at the Assistant Secretary-level or above, are also sent to the White House Counsel's office. (Copies of these security release forms are not maintained in the files of Presidential appointments requiring Senate confirmation). A copy of the Candidate Information Summary is sent to the White House Presidential Personnel Office and to the Department's White House Liaison Office.

--Security forms--Questionnaire for Sensitive Positions, and the Consumer Credit Check forms are sent to the Bureau of Diplomatic Security under cover of a memorandum requesting a security clearance. Original fingerprint charts (if appropriate) are also sent to the Bureau of Diplomatic Security where they are retained.

--The Ethics Division of the Office of the Legal Adviser reviews and certifies the financial disclosure documents to ensure that there is no conflict of interest. As part of the review and certification, that office also receives copies of the Personal Data Statement; the Senate Foreign Relations Committee form; and, if a chief of mission position, the Federal Campaign Contribution Report. In addition, it may be necessary to share this information with the Office of Government Ethics.

--Agreement telegrams document the initial request for a host government approval of a bilateral chief of mission and subsequent responses from overseas posts.

--Biographic summaries, cleared by appointees, are sent to the White House and the Senate Foreign Relations Committee.

--Nomination papers, including accreditation documents for bilateral chiefs of mission, are sent to the Office of the Executive Clerk in the White House who reviews the documents and obtains Presidential signature at the appropriate time. The nomination paper and the competence statement for chiefs of mission are sent to the U.S. Senate once White House final clearance is forthcoming.

--Congressional documentation is prepared and transmitted to the Office of Legislative Affairs and that office then submits the material to the U.S. Senate at the appropriate time.

--Memoranda sent to the regional bureaus serve as notification documents of the status of an appointment and transmit any needed appointment briefing materials.

--Official notification memoranda of an appointment are addressed to the appropriate Bureau Executive Director, with copies to various administrative and personnel offices in order to advise such offices of a Presidential appointment.

--The original letter of resignation of a Presidential appointee is sent under cover of a transmittal memorandum to the Office of White House Correspondence. That office sends back a Presidential response which is forwarded to the appointee.

--The original accreditation documents for a bilateral chief of mission are hand-carried to post by the chief of mission for presentation to the host government.

--Employment documents for non-career selectees are processed and forwarded to the appropriate offices in the Bureau of Personnel.

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

Storage:

Computer media and hard copy.

Retrievability:

By individual name, country or position title.

Safeguards:

All employees of the Department of State have undergone a thorough security background investigation. Access to the Department and its annexes is controlled by security guards and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel. Access to computerized files is password-protected and under the direct supervision of the system manager. The system manager has the capability of printing audit trails of access from the computer media, thereby permitting regular and ad hoc monitoring of computer usage.

Retention and disposal:

These records will be maintained until they become inactive at which time they will be retired or destroyed in accordance with published record schedules of the Department of State and as approved

by the National Archives and Records Administration. More specified information may be obtained by writing to the Director, Office of IRM Programs and Services; Room 1512; Department of State; 2201 C Street, NW; Washington, DC 20520-1512.

System manager(s) and address:

The Director General of the Foreign Service and Director of Personnel; Department of State; 2201 C Street, NW; Washington, DC 20520.

Notification procedure:

Individuals who have reason to believe that the Bureau of Personnel's Presidential Appointments Staff Office might have records pertaining to themselves should write to the Director, Office of IRM Programs and Services (address above). The individual must specify that he/she wishes the Senior Personnel Appointments Records to be checked. At a minimum, the individuals must include: Name; date and place of birth; Social Security Number; approximate dates of employment with the Department of State particularly the time during which the individual held a Presidential appointment or was in process for a Presidential appointment; current mailing address and zip code; and signature.

Record access procedures:

Individuals who wish to gain access to or amend records pertaining to themselves should write to the Director, Office of IRM Programs and Services (address above).

Record source categories:

These records contain information obtained directly from the individual who is the subject of these records, the Bureau of Personnel, Office of the Legal Adviser, the Bureau of Diplomatic Security, U.S. embassies (in the case of agreement telegrams), and/or the White House.

System exempted from certain provisions of the act:

Pursuant to 5 U.S.C. 552a(k)(5), certain records in this system contain confidential source information and are exempted from 5 U.S.C. 522a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f). See Department of State Rules published in the Federal Register.