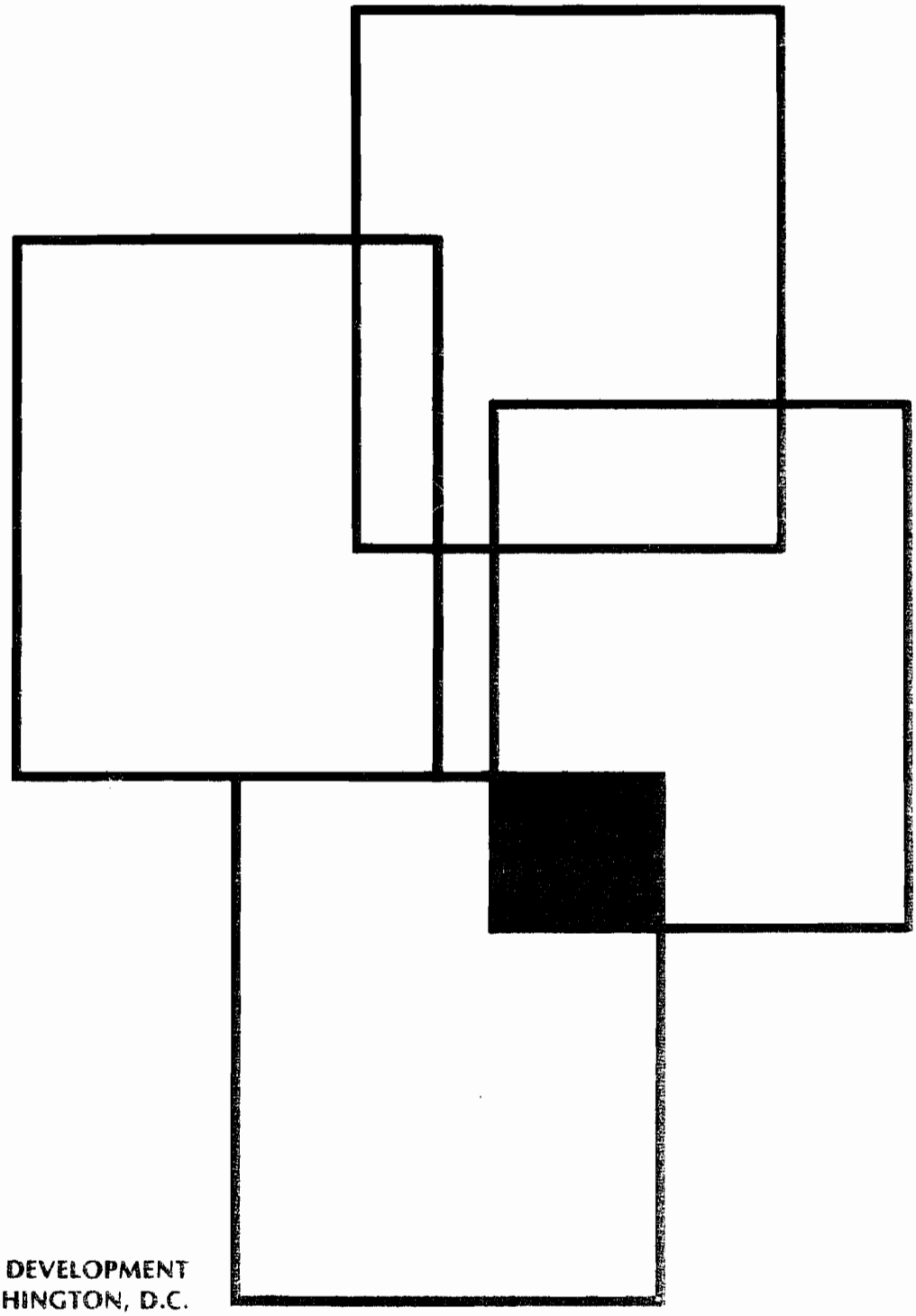
Information Services



AGENCY for INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C.

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE June 16, 1988	TRANS. MEMO NO. 18:77

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

This Handbook is being reissued in its entirety to provide a complete and current volume which combines all updates thru TM 18:77.

Part I, Directives and Publications: This part has been updated and reissued in its entirety.

Parts II, Information to the Congress; III, Information to Public, and; IV, A.I.D. Sources of Information: These parts have no changes but are being reissued to provide current information of all updates as of this date.

Part V, Information Technology Services: This part has been updated and reissued in its entirety. Including all apendixes.

SUPERSEDES:

Current Handbook 18 in user's possession.

FILING INSTRUCTIONS:

1. Remove superseded material as indicated under SUPERSEDES.

2. File the attached in their appropriate places.

3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18:77.

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 18:77 in the front of the handbook binder; discard TM sheet 18:76.

* * * * * * *

Address questions about this Handbook to M/SER/IRM/PE.

CHECKLIST FOR HANDBOOK 18
INFORMATION SERVICES

DATE	MATERIAL TRANSMITTED	TM NO.
Various	Reissued in its entirety	18:77

TABLE OF CONTENTS

HANDBOOK 18

INFORMATION SERVICES

SUMMARY

Part I - DIRECTIVES AND PUBLICATIONS

Chapter 1 - Directives Management Program
Chapter 2 - A.I.D. Handbooks - General
Chapter 3 - Handbook Format
Chapter 4 - Handbook Maintenance
Chapter 5 - Handbook Circulars
Chapter 6 - Other A.I.D. Directive Issuances

Part II - INFORMATION TO THE CONGRESS

Chapter 1 - Congressional Inquiries
Chapter 2 - Congressional Witnesses
Chapter 3 - Congressional Delegations
Chapter 4 - Congressional Reports

Part III - INFORMATION TO THE PUBLIC

Chapter 1 - Basic Policy
Chapter 2 - Responsibilities of the Office of Public Affairs
Chapter 3 - Inquiries from the Public
Chapter 4 - Inquiries from News Media
Chapter 5 - News Releases
Chapter 6 - News and Audio-Visual Services
Chapter 7 - Submission of Material by Overseas Missions
Chapter 8 - Official Photographs
Chapter 9 - Speeches, Written Articles, and Participation at Meetings of Governmental and Nongovernmental Organizations
Chapter 10 - Public Access to A.I.D. Records
Chapter 11 - Mandatory Classification Review
Chapter 12 - Access to and Protection of Records on Individuals, Privacy Act - 1974
Chapter 13 - Policies and Procedures - Communications Review Board

Part IV - A.I.D. SOURCES OF INFORMATION

Chapter 1 - Library Services Available to A.I.D.
Chapter 2 - A.I.D.'s Development Information and Reference Services
Chapter 3 - Sources of Information and Assistance Throughout A.I.D.

Part V - INFORMATION TECHNOLOGY

Chapter 1 - Information Resources Management
Chapter 2 - Data Elements Management
Chapter 3 - Coding Systems Used in A.I.D.
Chapter 4 - Reports Management
Chapter 5 - Forms Management Services

Appendix A - A.I.D. Forms Catalog

1. General
2. Stocking of Forms
3. Maintenance of Forms Catalog

Appendix B - Listing of Recurring Reports

Part I - Internal Reports
Part II - Public Reports - OMB Approved
Part III - Interagency Reports
Part IV - Congressional Reports and Presidential Determinations
Part V - Reports Required Internally by A.I.D. Bureau, Office, or Mission (Format)

Appendix C - Deleted

Appendix D - The A.I.D. Code Book

Section I - Coding Systems Used in A.I.D.
Section II - A.I.D. Core Codes and Composite Codes
Section III - A.I.D. Core Code Tables

Appendix E - Deleted

INDEX

HANDBOOK 18 - INFORMATION SERVICES

PART I - DIRECTIVES AND PUBLICATIONS

TABLE OF CONTENTS

	Page
Chapter 1 - Directives Management Program	
1A. Agency Authorities	1-1
1B. Directives Management Requirements	1-1
1C. A.I.D. Directives System - Scope	1-2
1D. Use of Authorized Media	1-2
Attachment 1A - Directives Management	
Chapter 2 - A.I.D. Handbooks - General	
2A. Use of Handbooks	2-1
2B. Authorship Responsibility	2-1
2C. Maintenance	2-1
1. By Author Offices	2-1
2. By User Office	2-2
2D. End-User Convenience	2-3
2E. Avoidance of Sex-Biased Language	2-3
2F. Handbook Changes	2-4
2G. Resolving Issues	2-4
Attachment 2A - A.I.D. Handbooks and Author Responsibilities	
Attachment 2B - Special Responsibilities, Variant Procedures - Certain Handbooks	
Attachment 2C - Transmittal Memorandum (Sample)	
Attachment 2D - Transmittal Memorandum Checksheet (Sample)	
Chapter 3 - Handbook Format	
3A. Purpose	3-1
3B. Tables of Contents	3-1
3C. Parts	3-1
3D. Chapters	3-2
3E. Organization of Material within Chapters	3-2
1. Major Topic Headings	3-2
2. Paragraphing	3-3
3F. Page Numbering	3-4
3G. Citations	3-4
3H. Supplementary Material	3-4
3I. Changes	3-5

Chapter 4 - Handbook Maintenance

4A.	Purpose and Scope	4-1
4B.	Clearance Requirements	4-1
4C.	Preclearance	4-1
4D.	Preparing Clearance Drafts	4-1
4E.	Initiating Clearance	4-2
4F.	Reproduction and Distribution - Clearance Drafts	4-2
4G.	Action - Clearing Offices	4-3
4H.	Final Action - Originating Office	4-3
4I.	Action - Office of Information Resources Management (SER/IRM)	4-4
4J.	Action - Office of Management Operations (SER/MO)	4-4
4K.	Cancellation	4-4
4L.	Questions - Handbook Content	4-5
4M.	Questions - Directives System	4-5
4N.	Distribution Requests	4-6
4O.	Reproduction of Directives	4-7
4P.	Updating of Handbooks	4-7
4Q.	Obsolete References	4-7

Attachment 4A - Instructions for Completing Form AID 3-69, A.I.D. Directives System - Review Request
Attachment 4B - Directives Clearance Officers
Attachment 4C - Form AID 5-18, Request for Reproduction of Clearance Draft, Duplicating and Distribution Request with Illustrative Entries
Attachment 4D - A.I.D. Directives System - Issuance Request (Form AID 3-252)

Chapter 5 - Handbook Circulars

5A.	Uses	5-1
5B.	Initiating Handbook Circulars	5-1
5C.	Forms and Reports	5-1
5D.	Clearance	5-2
5E.	Clearing Offices	5-2
5F.	Final Action	5-2

Chapter 6 - Other A.I.D. Directive Issuances

6A.	Policy Determinations	6-1
6B.	A.I.D. Regulations	6-1
6C.	Joint Issuances	6-2
6D.	A.I.D. Notices	6-3
6E.	Supplementary Issuances	6-4

6F. Internal Issuances 6-4
6G. Manual Issuances (Interim Provision) 6-4
6H. Circular Telegrams 6-4

Attachment 6A - Policy Determinations - Listing
Attachment 6B - A.I.D. Regulations - Listing
Attachment 6C - Uniformity Among the Agencies (2 FAM 120)
Attachment 6D - List of Uniform Foreign Affairs Regulations in the Handbook System
Attachment 6E - A.I.D. Directives System Supplementary Issuances
Attachment 6F - Procedure When a New or Revised Uniform Foreign Affairs Regulation Originates in the Department of State
Attachment 6G - Procedure When a New or Revised Uniform Foreign Affairs Regulation Originates in A.I.D.

Handbook 18
Information Services

Part I

Directives and Publications

ENCY for INTERNATIONAL DEVELOPMENT
DEPARTMENT of STATE
WASHINGTON, D.C. 20523

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE August 7, 1992	TRANS. MEMO NO. 18-I:56

MATERIAL TRANSMITTED:

Handbook 18 - Information Services -- Part I - Directives and Publications

Part I -- Directives and Publications, has been reissued in its entirety.

It is required by federal statute (FIRMR 201-9.103) that federal agencies maintain a system of directives. For consistent, accurate operations and programs, it is imperative that the handbooks be updated and kept current at all times.

The reissuance of this part provides guidance on updating and maintaining the handbooks and other directives publications. It reminds Agency offices and bureaus that any new policy that impacts handbook guidance which is developed and issued via telegram or notice is to be incorporated into the appropriate handbook immediately and that all handbook information is to be certified as accurate and up to date on a regular basis.

SUPERSEDES:

Part I in entirety (TMs 18-I:54 and 18-I:55).

FILING INSTRUCTIONS:

1. Remove superseded material as indicated under SUPERSEDES.

2. File the attached in their appropriate places.

3. Initial the Transmittal Memorandum Checksheet (in the back of Part I) beside TM 18-I:56.

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook Part on the back. File this TM 18-I:56 in the front of Part I; discard TM sheet 18-I:55.

* * * * * * *

Address questions about this Handbook Part to FA/AS/ISS (703) 875-1641.

For additional copies of this Transmittal contact FA/AS/ISS (703) 875-1641.

CHECKLIST FOR HANDBOOK 18, PART I
DIRECTIVES

AUTHOR OFFICE: FA/AS/ISS

DATE	MATERIAL TRANSMITTED	TM NO.
8/7/92	Part I reissued in its entirety	18-I:56

HANDBOOK 18

INFORMATION SERVICES

PART I - DIRECTIVES AND PUBLICATIONS

TABLE OF CONTENTS

Page

Chapter 1 - Directives Management Program

1A. Purpose 1-1
1B. Applicability 1-1
1C. Authority 1-1
1D. Policy 1-1
1E. Responsibilities 1-1
1F. AID Directives System - Scope 1-2
1G. Use of Authorized Media 1-2

Chapter 2 - AID Handbooks - General

2A. Purpose 2-1
2B. Applicability 2-1
2C. Authority 2-1
2D. Policy 2-1
2E. Responsibilities 2-1
1. Author Office 2-1
2. Handbook Custodian 2-2
3. Office Heads 2-3
2F. Writing Directives 2-3
1. End-User Convenience 2-3
2. Avoidance of Sex-Biased Language 2-3
3. Handbook Changes 2-4
2G. Resolving Issues 2-4

Attachment 2A - AID Handbooks and Author Responsibilities
Attachment 2B - Special Responsibilities, Variant Procedures - Certain Handbooks
Attachment 2C - Transmittal Memorandum (Sample)
Attachment 2D - Transmittal Memorandum Checksheet (Sample)

Chapter 3 - Handbook Format

3A. Purpose 3-1
3B. Tables of Contents 3-1
3C. Chapter Layout 3-2
3D. Parts 3-2
3E. Chapters 3-3

TABLE OF CONTENTS

Page

Chapter 3 - Handbook Format (Cont.)

3F. Style 3-3
3G. Organization of Material within Chapters 3-3
1. Major Topic Headings 3-3
2. Paragraphing 3-4
3H. Page Numbering 3-5
3I. Citations 3-5
3J. Supplementary Material 3-5
3K. Changes 3-7

Attachment 3A -- Style Guide

Chapter 4 - Handbook Maintenance

4A. Purpose 4-1
4B. Clearance Requirements 4-1
4C. Preclearance 4-1
4D. Preparing Clearance Drafts 4-1
4E. Initiating Clearance 4-2
4F. Reproduction and Distribution - Clearance Drafts 4-3
4G. Action - Clearing Offices 4-3
4H. Final Action - Originating Office 4-4
4I. Action - Office of Administrative Services (FA/AS) 4-4
4J. Cancellation 4-5
4K. Questions - Handbook Content 4-5
4L. Questions - Directives System 4-5
4M. Distribution Requests 4-6
4N. Reproduction of Directives 4-7
4O. Updating of Handbooks 4-7
4P. Obsolete References 4-8

Attachment 4A - Instructions for Completing Form AID 3-69, AID Directives System - Review Request
Attachment 4B - Directives Clearance Officers
Attachment 4C - Form AID 5-18, Printing/Distribution Request
Attachment 4D - AID Directives System - Issuance Request (Form AID 3-252)

TABLE OF CONTENTS

Page

Chapter 5 - Handbook Circulars

5A. Purpose 5-1
5B. Applicability 5-1
5C. Authority 5-1
5D. Policy 5-1
5E. Responsibilities 5-1
5F. Initiating Handbook Circulars 5-2
5G. Forms and Reports 5-2
5H. Clearances 5-2
5I. Clearing Offices 5-3
5J. Final Action 5-3

Chapter 6 - Other AID Directive Issuances

6A. Purpose 6-1
6B. Applicability 6-1
6C. Policy Determinations 6-1
6D. AID Regulations 6-1
6E. Joint Issuances 6-2
6F. AID Notices 6-3
6G. Supplementary Issuances 6-4
6H. Internal Issuances 6-4
6I. Manual Issuances 6-4
6J. Circular Telegrams 6-4

Attachment 6A - Policy Determinations - Listing
Attachment 6B - AID Regulations - Listing
Attachment 6C - Uniformity Among the Agencies (2 FAM 120)
Attachment 6D - List of Uniform Foreign Affairs Regulations in the Handbook System
Attachment 6E - AID Directives System Supplementary Issuances
Attachment 6F - Procedure When a New or Revised Uniform Foreign Affairs Regulation Originates in the Department of State
Attachment 6G - Procedure When a New or Revised Uniform Foreign Affairs Regulation Originates in AID

PART I

DIRECTIVES

CHAPTER 1

DIRECTIVES MANAGEMENT PROGRAM

1A. Purpose

This section of the handbook describes the various functions of the directives management program and the use of multiple authorized media.

1B. Applicability

This chapter applies to the requirements and scope of the directives management system.

1C. Authority

The authority for each chapter within this section are the following:

Section 621; Foreign Assistance Act, E.O. 12163
IDCA Delegation of Authority No. 1
Federal Information Records Management Regulations (FIRMR) 201-9.103

1D. Policy

FIRMR 201-9.103 requires each Federal Agency to establish and maintain a directives management program. A prudent program would include:

1. A system to codify and update agency directives

2. Procedures for directives preparation, review, and issuance.

3. Standards of format and style

4. Maintenance of documentation on agency organization, functions, policies, and procedures

5. Systematic review to assure that directives are necessary, properly cleared, current, and free of conflicts, gaps, and overlaps.

1E. Responsibilities

FA/AS is responsible for approval of all AID directives issuances and conduct of AID's directive management program.

1F. AID Directives System - Scope

1. The AID directives system comprises a number of different media, described in Chapters 2 through 6 of this part. These media are adapted to material of varying force, duration, and applicability, as indicated in the individual descriptions.

2. AID directives, according to their content, prescribe AID policies and procedures not just for AID itself, but for participating agencies, contractors, institutions, grantees, cooperating countries, and others acting on behalf of or in collaboration with AID.

1G. Use of Authorized Media

1. Directives material disseminated in circular messages and correspondence, such as notices or telegrams, should be quickly codified into the handbook system. If it is not, it will create a gap in the directives system. When messages or correspondence are used to transmit, change, or nullify directive material, the handbook should be amended accordingly so that users can rely on them as definitive.

2. Before preparing a circular message (or any correspondence to be given such circulation), check the directives bearing on the subject. If the material establishes or modifies policy, procedure, or prescriptive guidance, prepare it as a handbook change (see 2F) or handbook circular (see Chapter 5). Consult AS/ISS if there is a question about the appropriateness of material.

3. To ensure against misuse of messages, all AID circular telegrams sent worldwide or to all principal posts require clearance by ES. (See also HB. 21, Communications Management, Part I, Chapter 10.) Telecommunications and Computer Operations (TCO) Branch ("cable room") personnel refer telegrams to ES if the originating office fails to do so. Therefore, it is best to get this clearance initially, along with other clearances. In most cases, this can be done by telephone.

4. Speed is most often cited to justify sending out directive material in message form. Handbook circulars are designed to meet this need and, if necessary, can be printed and distributed quickly.

CHAPTER 2

AID HANDBOOKS - GENERAL

2A. Purpose

AID handbooks are the Agency's primary medium for directive materials - policy, regulations, procedures, and guidance. Handbooks incorporate Administrator's Policy Determinations, AID Regulations, and Uniform Foreign Affairs Regulations (see Chapter 6).

2B. Applicability

This chapter applies to the use, authorship responsibilities, and maintenance of the AID handbooks.

2C. Authority

FIRMR 201-9.103

2D. Policy

1. The Agency handbooks are to be developed and updated by individual staff offices (Attachment 2A). These author offices are to establish a phase program for systematic review of all its handbooks. This program is to be synchronized with the annual handbook review (Chapter 4).

2. All AID offices and missions are to maintain a complete set of Agency handbooks through a designated handbook custodian.

2E. Responsibilities

1. Author Office

a. The designated author office is responsible for developing and clearing the handbook, for preparing final drafts for publication, and in continuing maintenance. The author office does not necessarily prepare all the handbook text; one or more contributing offices may do so if the subject matter requires. In such cases the author office coordinates to assure timely submissions by contributors and logical integration of their material into the overall handbooks.

2E1

b. For certain handbooks (see Attachment 2B) the author office may be assigned special responsibilities, and variations may be authorized from standard procedures prescribed in this and following chapters of this part.

c. Author offices must assign handbook maintenance responsibilities to competent staff people who are at an appropriate grade level and well placed organizationally. It is important that each author office establish a phase program for systematic review of all its handbooks, and not try to handle maintenance through intermittent ad hoc assignments. This program should be synchronized with the annual handbook review.

d. To identify needed changes, those responsible for handbook maintenance must --

(1) Keep abreast of conceptual and operating changes as they develop within their own offices,

(2) Maintain good liaison with contributing offices, and

(3) Regularly review significant clearance drafts from other author offices.

2. Handbook Custodian

a. It is essential that the handbooks be kept current. This is best accomplished by each office maintaining a set of the handbooks through a designated handbook custodian. The custodian has the regularly assigned duty of receiving new and revised material, inserting it into the handbook and removing any superseded material promptly. The custodian is to circulate a copy of handbook issuances carrying an "important information" caption to all potentially interested employees in the office before filing it.

b. Handbook issuances are distributed under cover of Transmittal Memorandum (TM) formats (Attachment 2C) which are dated and serially numbered as follows:

XX : XX
- XX — serial number
- XX — Handbook number

TM's also include a brief synopsis of the material transmitted, superseded pages, and the filing instructions for the issuance. Each TM also includes an up-to-date checklist of all issuances for the handbook citing their TM Number, material transmitted, and date. The custodian can quickly ascertain by comparing this checklist with the latest material on file and can easily identify any missing issuances. Missing issuances are requisitioned from the AID warehouse, through FA/AS/ISS, on form AID 5-7, Supplies/Equipment/Services Requisition.

2E2a

c. A Transmittal Memorandum Checksheet format (Attachment 2D) is placed in the back of each handbook. It contains the serial numbers to be used for the issuances in each handbook. As new issuances are received and inserted in the handbook, the custodian notes each TM serial number and initials the corresponding number on the Checksheet. If a preceding number has not been initialed, it is another indication that an issuance is missing, or if received, has not yet been filed.

d. In addition to the above described techniques, a handbook custodian may call FA/AS/ISS whenever there is doubt as to whether a particular handbook is up to date, when an issuance was distributed or is likely to be distributed, and for advice on techniques for the most efficient maintenance of the handbooks.

3. Office Heads

Responsibility for maintenance of handbooks in a user office rests ultimately with the head of the office, or designee (administrative or other officer), who has authorized procurement of the handbooks. The responsible officer inspects the handbooks as often as necessary to assure that the designated custodian understands the function, has been circulating important information, and has kept the handbooks current.

2F. Writing Directives

1. End-User Convenience

a. Handbooks serve as convenience and a source of utility for ultimate users, particularly in the field. This means that the style should be simple, clear, and succinct. Keep the user in mind when deciding on the division of subject matter between handbooks and the organization of material within a handbook.

b. Users are invited to send suggestions for improving handbook to the responsible author offices.

2. Avoidance of Sex-Biased Language

a. Avoid sex-biased language; including language that assumes or implies employment functions with a specific gender.

2F2

b. Terms such as "manpower," "manning," "man-year," etc., when referring to employees of both sexes, except for certain organizational titles. Instead use "work force," "staffing," "worker-year," or other words that apply to both sexes.

c. Masculine pronouns - "he," "him," his" - when both sexes are meant. Instead, use nouns which can refer to either sex - "official," "officer," "employee," "technician," "specialist," "incumbent," etc. "He or she," "her or him," can also be used.

3. Handbook Changes

a. To revise or add to a handbook, the author office prepares a handbook change or, if time does not permit, a handbook circular.

b. A handbook change, which is the preferred method, incorporates the new or revised material into the chapter and paragraph structure of an already published handbook. Prepare the change in the format prescribed in Chapter 3 and follow the clearance and issuance procedures in Chapter 4. If necessary, consult AS/ISS on organizing material, renumbering paragraphs and chapters, pagination, and clearance requirements.

c. Use handbook circulars only as outlined in Chapter 5.

d. If a change is thought to be required in a handbook assigned to another author office, a memorandum proposing the change should be sent to the other author office. If possible, recommended language should be suggested. Send AS/ISS a copy of the memorandum.

2G. Resolving Issues

Whenever possible, jurisdictional and substantive issues relating to handbooks are resolved directly by the staff offices involved. AS/ISS consults with these offices as needed to clarify the offices issues and help reconcile differences. If necessary the matter is referred, on recommendation of AS/ISS to an appropriate official or body at a level above the directors of the differing offices, depending on the issue and the circumstances.

ATTACHMENT 2A
AID HANDBOOKS AND AUTHOR RESPONSIBILITIES

HANDBOOK NO.	CORE HANDBOOKS	AUTHOR (OR PRIMARY) OFFICE	CONTRIBUTING OFFICE(S)	HANDBOOK COORDINATOR
1	Policy - A Summary for Executives	POL		G. Hill
	Sup 1B: Procurement Policies	FA/PPE		K. O'Hara
2	Program Planning and Budgeting	FA/B		R. Nygard
3	Project Assistance	POL		G. Hill
4	Nonproject Assistance	POL	FA/PPE, GC	G. Hill
	SPECIAL PROGRAMS			
7	Housing Guaranties	PRE/H		D. Grossman
8	Foreign Disaster Assistance	FHA/OFDA		F. Cole
9	Food for Peace, Title II	FHA/FFP		J. Vogler
	IMPLEMENTATION			
10	Participant Training	R&D/OIT		J. McKeever
11	Country Contracting	FA/PPE		K. O'Hara
12	Use of Federal Agencies	FA/PPE		"
13	Grants	FA/PPE		"
14	Procurement Regulations	FA/PPE		"
15	AID-Financed Commodities	FA/PPE		"
16	Excess Property	FA/PPE		"

HANDBOOK NO.	CORE HANDBOOKS	AUTHOR (OR PRIMARY) OFFICE	CONTRIBUTING OFFICE(S)	HANDBOOK COORDINATOR
		MANAGEMENT		
17	AID Organization	FM/B		G. Joe
18	Information Services	FA/AS/ISS		F. Allen
			FA/AS/ISS: Part I - Directives (F. Allen) LEG: Part II - Info. to Congress (B. Cook) OPA: Part III - Info. to the Public (J. Harper) POL/CDIE: Part IV - Sources of Info; App C and E (M. Brown) FA/IRM: Part V - Info. Tech. App A (AS/ISS/RM, B. Johnson) App D (FA/IRM, R. DiCurcio)	
19	Financial Management	FA/FM		R. Kramer
5	Delegations of Authority	GC		J. Miller
6	Security	IG/SEC		P.J. Hogan
20	Office Services	FA/AS		F. Allen
21-I	Communications Management	FA/AS	ES:Sup A (F. Rogers)	F. Allen
21-II	Records Management	FA/AS/ISS/RM		F. Allen
22	Travel and Transportation	FA/AS/TT		M. Anderson
23	Overseas Support	FA/OM		N. Benton

HANDBOOK NO.	CORE HANDBOOK	AUTHOR (OR PRIMARY) OFFICE	CONTRIBUTING OFFICE(S)	HANDBOOK COORDINATOR
		PERSONNEL		
24	General Personnel Policy	FA/HRDM/PPM/PP		M. Trott
			EOP: Chap. 2 Equal Opportunity Program - Pendarvis HRDM/LER: Chap. 6 Labor-Management Relations - (Mackenzie)	
25	Employment and Promotion	FA/HRDM/PPM/PP		M. Trott
			FA/B/SB Chap. 23 - Workforce Resource Allocations and Employment Control - (M. Rarick)	
26	Position Classification, Pay, and Allowances and Allowances	FA/HRDM/PPM/PP		M. Trott
			FM/FPS: Chap. 6 Schedule of Pay Periods; and Chap. 7 - Salary Allotments and Deductions - (Kramer)	
27	Attendance and Leave	FA/HRDM/PPM/PP		M. Trott
28	Training and Staff Development	FA/HRDM/PPM/PP		M. Trott
29	Employee Relations & Benefits			M. Trott

HANDBOOK NO.	CORE HANDBOOK	AUTHOR (OR PRIMARY) OFFICE	CONTRIBUTING OFFICE(S)	HANDBOOK COORDINATOR
30	Separations & Disciplinary Actions	FA/HRDM/PPM/PP		M. Trott
31	Reserved	FA/HRDM/PPM/PP		M. Trott
32	Personnel Actions, Records, & Reports	FA/HRDM/PPM/PP		M. Trott
33	Overseas Position Management	FA/HRDM/PPM/PP		M. Trott

ATTACHMENT 2B

SPECIAL RESPONSIBILITIES, VARIANT PROCEDURES - CERTAIN HANDBOOKS

Handbook 14, Procurement Regulations (and Related Issuance)

1. General

This handbook consists of the AID Acquisition Regulations (AIDAR), as published as chapter 7 of the Title 48 Code of Federal Regulations. The AIDAR supplements the Federal Acquisition Regulation (FAR) and implements the procurement related aspects of the Foreign Assistance Act, Executive Order 11223, and established ADI policies on contracting as set forth in Supplement B to AID Handbook 1. The AIDAR provides for the codification and publication of procedures for the acquisition of services and personal property by AID.

2. Responsibility

Responsibility for AID review of the FAR and for development and maintenance of the AIDAR is assigned to the Procurement Executive (AA/FA) and, under him, to the Procurement Policy and Evaluation Staff (FA/PPE).

3. Clearance

FA/PPE will determine clearance requirements for individual changes and additions to the AIDAR. All changes are cleared with the Office of the General Counsel (GC) and selectively with other offices concerned, according to content.

4. Publication

a. The FAR and the FAR amendments (i.e., Federal Acquisition Circulars (FACs) are printed on white loose-leaf sheets by GSA.

b. FA/PPE amends the AIDAR by issuing AIDAR Notices for signature by the Procurement Executive; signed Notices are transmitted through the Office of the General Counsel for publication in the Federal Register, after which FA/AS/ISS transmits camera copy to FA/AS/ISS/PG, for reproduction and distribution as a Handbook 14 (AIDAR), amendment under a Transmittal Memorandum (TM).

c. The content of AIDAR Notices is codified as part of the AIDAR text by the Office of the Federal Register and published annually as part of the Code of Federal Regulations (CFR).

5. Distribution

FA/PPE controls distribution of Handbook 14 material, working within the directives distribution system developed and maintained by the Distribution Branch, FA/AS/ISS/MM, and FA/AS/ISS. Distribution is subject to consultation among the three offices as required.

6. Related Issuance

FA/PPE publishes Contract Information Bulletins (CIBs) to provide advance notice of forthcoming FAR and AIDAR changes and for informational purposes.

7. Files

FA/PPE maintains background files on all Handbook 14 material, showing clearances obtained and disposition of any comments received.

ATTACHMENT 2C

SAMPLE

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE	TRANS. MEMO NO. 18-I:

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

List material being transmitted.

SUPERSEDES:

List page(s), chapter(s), attachment(s), or appendix(es) being superseded.

FILING INSTRUCTIONS:

1. List material being superseded.
2. File the attached in their/its place.
3. Initial the Transmittal Memorandum Checksheet (in the back of the handbook binder) beside TM 18-I:

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this handbook on the back. File this TM 18-I: in the front of the handbook binder; discard TM sheet 18-I:.

* * * * * * *

Address questions about Part I of this Handbook to (author office).

For additional copies of this Transmittal contact FA/AS/ISS

ATTACHMENT 2D

TRANSMITTAL MEMORANDUM CHECKSHEET

HANDBOOK 18 - INFORMATION SERVICES

PART I - DIRECTIVES AND PUBLICATIONS

18-I:1 _____	18-I:23 _____	18-I:45 _____
18-I:2 _____	18-I:24 _____	18-I:46 _____
18-I:3 _____	18-I:25 _____	18-I:47 _____
18-I:4 _____	18-I:26 _____	18-I:48 _____
18-I:5 _____	18-I:27 _____	18-I:49 _____
18-I:6 _____	18-I:28 _____	18-I:50 _____
18-I:7 _____	18-I:29 _____	18-I:51 _____
18-I:8 _____	18-I:30 _____	18-I:52 _____
18-I:9 _____	18-I:31 _____	18-I:53 _____
18-I:10 _____	18-I:32 _____	18-I:54 _____
18-I:11 _____	18-I:33 _____	18-I:55 _____
18-I:12 _____	18-I:34 _____	18-I:56 _____
18-I:13 _____	18-I:35 _____	18-I:57 _____
18-I:14 _____	18-I:36 _____	18-I:58 _____
18-I:15 _____	18-I:37 _____	18-I:59 _____
18-I:16 _____	18-I:38 _____	18-I:60 _____
18-I:17 _____	18-I:39 _____	18-I:62 _____
18-I:18 _____	18-I:40 _____	18-I:63 _____
18-I:19 _____	18-I:41 _____	18-I:64 _____
18-I:20 _____	18-I:42 _____	18-I:65 _____
18-I:21 _____	18-I:43 _____	18-I:66 _____
18-I:22 _____	18-I:44 _____	18-I:67 _____

CHAPTER 3

HANDBOOK FORMAT

3A. Purpose

This chapter describes and illustrates the format used for AID handbooks.

3B. Tables of Contents

1. Each handbook is to have one or more tables of contents, depending on the handbook's size and structure and the amount of detail, such as major topic headings and paragraph captions, that is considered useful to show in the table(s).

2. If a handbook is unified in its structure and relates to one basic subject, a single table of contents is usually sufficient.

3. When a handbook is divided into parts, as in the case of this Information Services Handbook, each part may have its own table of contents. This is particularly appropriate when:

   a. The subject matter of the different parts is distinct and not closely related;

   b. The material is addressed to somewhat different audiences;

   c. Parts are prepared and maintained by different contributing offices; and

   d. Considerable detail such as topic headings and paragraph captions is shown in the tables.

4. If there is table of contents for each part of a handbook, there is also a summary table for the handbook as a whole. Ordinarily this shows only the titles of the various parts.

5. Variants of the arrangements outlined here are possible, subject to discussion with FA/AS/ISS.

3C. Chapter Layout

The chapter layout should include the following format. Each of these topics should be provided in each individual chapter of the handbook. They may be broken out by these topic heads or may be worked into other paragraphs of the chapter.

1. Purpose -- Defines the objective(s) and scope of the chapter or supplement as well as the subject of the chapter.

2. Applicability -- Includes the personnel, situations, and locations affected. This may be worked into the purpose paragraph or may stand alone as a major topic head.

3. Authority(ies) and Reference(s) -- List the statutes, regulations and guidelines on which the chapter is based, include the title. Do NOT include the narrative, only the citation, e.g., Foreign Service Act of 1980, as amended, sec. 306; FPM 762, Adverse Actions. Number each entry; do NOT skip lines between entries. If the authorities and references are the same throughout the handbook, they may be included as an attachment to the handbook.

4. Definition(s) -- Defines the key terms used in the chapter as well as any unfamiliar terms. Underline and number each definition.

5. Policy(ies) -- This will be a major portion of the chapter. It outlines "what" the chapter topic is requiring. Do NOT include responsibilities, discussion or other narrative. Should consist of concise policy statements.

6. Responsibilities -- Defines responsibilities of employees, offices, staffs and bureaus responsible for implementing the policy and/or procedures.

7. Procedures -- This is another major portion of the chapter. It outlines "how" these policies are to be implemented.

8. Forms and Attachments -- List forms/attachments that augment the chapter, cited by title.

3D. Parts

When a handbook is divided into parts, each part will normally comprise of two or more chapters. Division into parts is helpful when handbook material falls within several major subject areas, each of which lends itself to division by chapters. Parts are numbered with Roman numerals, as in this example:

3D

INFORMATION SERVICES HANDBOOK

Part I. Directives and Publications

Part II. Information to the Congress

Part III. Information to the Public

Part IV. Information Sources in AID

Part V. Information Technology

3E. Chapters

1. Each handbook is divided into chapters, organized under a major subject heading. (Chapters are the first or second major subdivision of handbook material, depending on whether the handbook is divided into parts).

2. Chapters are numbered consecutively with Arabic numerals, starting with 1 at the beginning of each handbook or at the beginning of each part, where parts are used.

3. Chapter headings are in all capital letters as shown at the start of this chapter.

3F. Style

The writing style should be direct, to the point, and precise. Avoid wordiness and "legalese," i.e., aforementioned, heretofore, etc. Write compactly, give only the information or instructions needed by the reader. Use the Handbook Style Guide in Attachment 3A as the preferred style for the Agency handbooks.

3G. Organization of Material within Chapters

1. Major Topic Headings

a. Determine the major topic headings that represent the primary division of subject matter within the chapter.

b. Letter each major topic heading in alphabetical order, starting with A for each chapter. Use capital letters, preceded by the chapter number, as illustrated here:

3A. Purpose

3B. Tables of Contents

3G1b

3C. Chapter Layout

3D. Parts

3E. Chapters

3F. Style

3G. Organization of Material within Chapters

c. Capitalize first and principal words in captions and underline as shown. Do NOT underline alphanumeric designations.

2. Paragraphing

a. Identify and indent successive subdivisions of material under major topic headings as follows:

1. ----------

a. ----------

(1) ----------

(a) ----------

1. ----------

b. Do not subdivide text below the level denoted by "1." in the above format.

c. Do not number or letter a sub-element that stands alone under the element next above it. In 2D, for example, the first element of the text, now numbered 1, would bear no number if it were not followed by the element numbered 2.

d. Short items like those following the colons in 3D and 3G1b need not be numbered individually.

e. If the citation continues on to the next page, show the appropriate paragraph designation at top left of the following page, as 3G1 is shown above on this page.

f. Use captions like those for major topic headings (3G1) with subdivisions of text below that level.

3G2

(1) Under any one element of the text, use captions on all of its equally ranked sub-elements, or on none.

(2) Do not use captions on lower level subdivisions--those designated (1), (2), and (3), (a), (b), and (c), or 1, 2, and 3.

g. Indent and block all text as shown above.

h. When using WANG word processing equipment to prepare handbook materials, use a format line with tab settings at positions 7, 12, 17, 22, 27, and return setting at 80.

3H. Page Numbering

Number the pages of each chapter with hyphenated numbers that include the chapter designation, i.e., 3-1 for the first page in Chapter 3; 3-2, 3-3, and so on for successive pages in that chapter.

3I. Citations

1. When citing cross references within the same handbook, use complete references, i.e., 2C2, 3G2f(1), etc.

2. Cite other handbooks as follows:

a. Initial citation--Handbook 8, Foreign Disaster Assistance, 3B1.

b. Subsequent, closely following, or repeated citations of same handbook - HB 8, 7B3.

3. Do not use words like subparagraph, section, and subsection in citations.

3J. Supplementary Material

1. Use one or more of the following terms for supplementary material added outside the handbook text:

Appendix -- For fairly long additions that are rather formal detailed, and keyed to the main text.

Supplement -- For short or medium length additions, less formal than the main text and not keyed to it in detail.

Attachment -- For brief additions, forms, report formats, specimen memoranda, etc.

Exhibit -- For large involved charts, diagrams, tables, etc.

3J

2. Add supplementary materials at the end of the chapter to which they relate or at the end of the handbook itself, whichever is more convenient for the reader.

3. When adding supplementary materials at the end of a handbook:

a. Designate each appendix, supplement, attachment, and exhibit with a capital letter, starting with A and continuing alphabetically for each type of supplementary material. For example:

If a handbook has--	Designate them as--
2 appendices	Appendix A and Appendix B
5 supplements	Supplements A through E
9 attachments	Attachments A through I
1 exhibit	Exhibit A

b. Identify supplementary items by marking each page at the upper right corner in full or abbreviated form as follows:

Appendix A to Handbook 9	or	App A, HB 9
Supplement B to Handbook 10	or	Sup B, HB 10
Attachment C to Handbook 20	or	Att C, HB 20
Exhibit D to Handbook 30	or	Exh D, HB 30

4. When adding supplementary materials at the end of individual chapters, identify each item with a number-letter combination as shown on attachments at the end of this chapter and other chapters in Part I of this handbook. The number is the number of the chapter to which the material is appended. For each type of supplementary material, lettering begins with A for each chapter and follows alphabetically.

5. Number the pages of each supplementary item with Arabic numerals, starting with "1" for each item. Center the number for page 1 at the bottom of the page, and center other page numbers at the top of the page. You need not number the pages of reprinted items that have their own clear pagination, even when an excepted item begins with a page numbered other than "1."

6. If an appendix, supplement, attachment, or exhibit consists of no more than two pages printed back-to-back on one sheet, the pages do not need to be numbered.

3K. Changes

When issuing handbook changes, FA/AS/ISS ordinarily highlights the parts that represent revisions or additions to existing text by setting them with a " " and a footnote "Revised."

ATTACHMENT 3A

HANDBOOK STYLE GUIDE

Agency	use Agency, instead of AID, wherever possible
AID	no periods; use Agency wherever possible
Authorities and References	--no punctuation after headline, number authorities and references if more than one, do not skip lines between citations, e.g., 1. 5 U.S.C. 41, Trainings 2. Foreign Service Act of 1980, as amended, sec. 501 --use titles when citing authorities and references, e.g., FPM 410, Training
Attachment	abbreviate Att.; brief additions referred to in the text, forms, sample formats, etc.
Appendix	abbreviate App.; long, detailed additions to the text referenced in the text
bureaus/offices	lower case "b" and "o"
chapter	--when using as an adjective, abbreviate, e.g., Ch. 6 --when using as the headline to a chapter center, spell out, cap all letters, do not boldface, e.g., CHAPTER (see title)
circulars	as a general rule, do not use circulars; instead, reissue pages as necessary to reflect changes. If absolutely necessary, circulars are only permissible if the information is for an extremely short, temporary period of time
cross references	if cross references between chapter parts or other chapters are necessary, cite the complete citation, e.g., 3G1f. If cross references between handbooks, Handbook 18, Part I, 3G1f.

Definitions	no punctuation after headline, number definitions if more than one, underline word being defined; e.g., 1. Employee
Director, Office Symbol	use the symbol when referring to the office, e.g., FA/AS/OD; use the title when referring to the Director, e.g., Director, FA/AS
employee	--use FS employee not FS member --use employee instead of staffer, worker
Exhibit	abbreviate Exh.; referenced in the text, large involved charts, diagrams, tables, etc.
federal	lower case "f"
Foreign Service	when using as an adjective, abbreviate, e.g., FS employee; do not abbreviate to describe the Service
forms	use form number and title, i.e., SF 5-7, Supply/Equipment/Services Requisition; AID 5-8, Printing/Distribution Request; OF 8, Position Description. Standard Form=SF; Optional Form=OF.
full-time	hyphenate
government	lower case "g" unless preceded by U.S.
handbook	when using as an adjective, abbreviate, e.g., HB 18; ll other times, lower case
herein	use "in this section (chapter, etc.)"
him/her, he/she him/herself his/hers	do not use; use "the employee"
member	(see employee)

mission	capitalize when referring to a specific AID Mission lower case when referring to missions in general (also see overseas post)
must	do not use "shall" if you mean must (see shall and will)
normally	use "usually"
numbers	spell out one to nine, use numbers for 10 and above
overseas post	use when referring to an AID overseas office other than missions or overseas activities in general
part-time	hyphenate
percent	do not use %
Policy	policy statements outline WHAT; policy statements frequently contain the words "shall" or "will." Do not include procedures, general discussion or other narrative under the policy section. Also use the words "shall," "will," "can," "may" and "must" with caution; do not use "shall" or "may" if you mean must.
Responsibilities	be as specific as possible using complete title and office symbol; e.g., Chief, Information Support Services, (FA/AS/ISS) not FA/AS.
section	lower case
shall	often used interchangeably with "will" in policy statements; do not use "shall" if you mean must
staffer	do not use (see employee)
Supplement	abbreviate Supp.; short additions to the text that in detail are not key to the text
title (chapter)	to introduce a chapter, center, cap all letters, e.g., CHAPTER 3, HANDBOOK FORMAT

United States	when using as noun, spell out; when using as an adjective, abbreviate, e.g., U.S. Government, U.S. agency
U.S.	(see United States)
will	ofter used interchangeable with "shall" in policy statements; do not use "shall" if you mean must

CHAPTER 4

HANDBOOK MAINTENANCE

4A. Purpose

1. This chapter covers clearance, issuance, distribution, and cancellation of AID handbook materials. It is addressed primarily to author offices and contributing offices originating handbook material (see 2B1 above) but applies also to clearing offices, handbook users, and others.

2. Normally only author offices, which have primary responsibility for a whole handbook, take action to prepare and clear handbook material. In certain cases, however, one or more major segments of a handbook - for example, a part comprising several chapters - may be the permanent responsibility of a contributing office, which functions in effect as author office for the assigned segment(s). Contributing offices, when obtaining clearance, must always include as a reviewing office the office responsible for the whole handbook.

4B. Clearance Requirements

1. Sections 4C through 4G below cover directives clearance procedures required on new and or revised handbook material.

2. Some handbook material may not require regular clearance as outlined here. Such clearance may be pointless with essentially technical changes or with directives that simply promulgate requirements imposed on AID by other agencies. Consult Information Support Services (AS/ISS) if regular clearance seems to be unnecessary.

4C. Preclearance

Before preparing a draft for formal clearance, particularly on complicated subject matter, it is often useful to work out an information preclearance with other principally interested offices. If your material involves forms or reports, consult Forms Management and Reports Management Officers at this stage. (See Part V, Chapters 4 and 5.)

4D. Preparing Clearance Drafts

1. When preparing clearance drafts of new material of some length, type it in the format prescribed and illustrated in Chapter 3, but double-spaced.

4D

2. When fairly brief changes to existing handbook provisions are proposed, use a copy of the affected handbook page(s) showing the changes preferably typed, between the lines or in the margin. If the existing material is in two columns, reproduce one column at a time and show the changes on the blank half of the duplicated page.

3. As an alternative to 2 above, retype the passages that require changes, showing the deleted portions lined through and the added portions underlined or in a special type face. Type the material in the standard format, double-spaced, as in 1 above.

4E. Initiating Clearance

1. When the draft is ready for formal clearance, prepare:

A covering form AID 3-69, AID Directives System -- Review Request, following the detailed instructions in Attachments 4A and 4B.

An accompanying form AID 5-18, Printing/Distribution Request, as shown in Attachment 4C.

2. By telephone, check with AS/ISS on:

Selection of clearing offices.

Names and addresses of directives clearance officers, and number of copies for each.

The "Background and Purpose" statement explaining the proposed change.

The planned due date for reviewing offices.

Unless specifically requested, do NOT send AS/ISS the clearance draft material before reproduction.

3. Show AS/ISS's telephone clearance on the Printing/Distribution Request as illustrated in Attachment 4C. Printing and Graphics (AS/ISS/PG) honor requests for reproduction of directives clearance drafts only when AS/ISS clearance is shown.

4F. Reproduction and Distribution - Clearance Drafts

1. Printing and Graphics Branch (AS/ISS/PG) reproduces, assembles, and staples the clearance drafts, and returns them to the originating office for:

Insertion of dates in the "Date Sent Out" and "Comments Due By" blocks.

Transmittal of the prescribed number of copies to each directives clearance officer shown as an addressee on the Review Request.

2. In special circumstances, by prearrangement with AS/ISS/PG, it may be possible for Mail Management Branch to forward clearance drafts to directives clearance officers. This procedure requires that the originating office:

Insert the appropriate dates in the "Date Sent Out" and "Comments Due By" blocks of the Review Request before reproduction.

Request distribution on the Printing/Distribution Request, as shown on the second specimen form, Attachment 4C.

Send preaddressed envelopes to Distribution Branch for each directives clearance officer listed on the Review Request.

4G. Action - Clearing Offices

1. Address comments primarily to matters of substance. Do not bother with routine editing. Recommend nonsubstantive editorial changes only if important for clarity.

2. Besides reviewing the content of the clearance draft itself, analyze it for possible impact on any directives your office is responsible for issuance. Make sure that personnel responsible for directives issuance in your office see all clearance drafts from other offices that might have such impact.

3. Forward concurrence or comments to originating offices by the specified due date.

4H. Final Action - Originating Office

1. Review comments and resolve differences with commenting offices.

2. Obtain final approval of any forms from FA/AS/ISS/RM.

3. Prepare a final draft (marked-up yellow draft is usually satisfactory), making sure that your copy clearly shows which parts represent changes or additions to existing directives. Show the name(s) of the drafter(s) on the manuscript, to be left for reference in AS/ISS background file on the issuance. Forward your draft to AS/ISS together with:

a. Form AID 3-252, AID Directives System - Issuance Request (Attachment 4D).

b. A transmittal memorandum showing main subjects covered, organizations affected, portions of existing directives modified or superseded.

c. Final approved versions of any forms or report formats.

d. Originals of all comments and clearances to be filed in background folder. Actions taken on these are to be summarized on the back of the Issuance Request as illustrated in Attachment 4D.

e. A diskette containing the document with all changes incorporated (when the document is prepared on WANG Word Processor, WANG WP plus, or WordPerfect).

f. Special distribution instructions, if needed.

4I. Action - Office of Administrative Services (FA/AS)

The Information Support Services Division --

1. Reviews for adequacy of clearance.

2. Edits the text, consulting the originating office on any substantive changes.

3. Arranges for reproduction and distribution.

4. Records Management (AS/ISS/RM) arranges for reproduction and distribution of all AID forms.

4J. Cancellation

When handbook material is to be cancelled outright rather than superseded by new material, send AS/ISS a form AID 3-252, AID Directives System - Issuance Request (Attachment 4E), requesting cancellation and showing:

a brief statement of the reason for the cancellation, and

clearance of other offices, if the subject matter requires.

4K. Questions - Handbook Content

1. Address questions about the content of a handbook to the author office, which is ordinarily identified at the bottom of the latest transmittal memorandum (TM) filed at the front of the handbook. Where different contributing offices have prepared parts of a handbook, address the office identified on the preface page at the beginning of the part in question.

2. If it is believed that a handbook provision should be changed, send a memorandum to the author office or contributing office, with a copy to AS/ISS. When convenient, give the recommended new language.

4L. Questions - Directives System

1. Address questions about the directives system to AS/ISS:

Office of Administrative Services
Information Support Services (AS/ISS)
Agency for International Development
Washington, D.C. 20523-1413

2. Such questions include

a. Application and interpretation of Chapters 1 through 6, Part I, this handbook.

4L2

b. Whether a particular handbook is up-to-date. Usually this can be confirmed by matching the Transmittal Memorandum number (in front of the handbook) with the checksheet which is signed-off by the office handbook custodian. AS/ISS can be contacted for the most recent Transmittal issuance number.

c. Relationships among handbooks and other directive media.

d. Where coverage of a particular subject may be found. Address questions about the subject matter to the staff office responsible.

e. Background of current and superseded directives.

f. Whether the material should be processed as a directive (see 1D above).

4M. Distribution Requests

1. In the interest of economy and efficiency, the dissemination pattern for handbooks has been tailored to achieve a lean but adequate distribution, based on estimated user requirements. Complete sets of handbooks are distributed to AID Missions and to Bureaus and major staff offices in AID/Washington. Normally employees have fairly convenient access to a set maintained by the parent organization. If so, personal sets should not be maintained by individuals. Individually maintained handbooks should be limited to those needed for frequent reference, to perform primary and essential supporting functions.

2. Send all requests for complete handbooks, supported by a brief justification, to AS/ISS through the executive or administrative officer. This officer is to review requests to make sure they are justified in terms of the handbook distribution that the organization is already receiving. AS/ISS reviews these requests and forwards them to AS/PP/PP for action. Copies of handbook changes are requisitioned in accordance with 2E2b.

3. When a handbook is requested for someone in AID or in an outside organization, the request must give the address where the AID warehouse is to send the handbook as well as the updates. Some AID offices are inclined to obtain bulk stocks of handbook materials and then make their own informal distribution to outside organizations. This practice is to be avoided since it usually makes no provision for systematic forwarding of changes as they are issued.

4M

4. In the request for distribution, addresses should appear in the following form:

FM/CMP
Room 700, SA-2
Washington, DC 20523-0209

USAID/Cairo
Program Office
Unit 64902
APO AE 09839-4902
or
USAID/New Delhi
Executive Officer
Department of State
Washington, DC 20520-9000

U.S. Dept of Interior
Intl Water Resource Prog
MS 436 National Ctr
Reston, VA 220012

Limit each address to no more than 5 lines. Lines must be no more than 35 characters in length, counting each letter, space, or punctuation mark as a character. Use organizational titles, whenever practical, rather than individuals' names, as the distribution list becomes outdated as personnel changes occur.

5. When inquiring about missing handbook transmittals, indicate what transmittal memorandums (TM's) have been received.

6. When changes in organization, location, personnel, quantity required, etc., have occurred, send AS/ISS a corrected address together with a copy of the existing address.

4N. Reproduction of Directives

For reproduction of handbook material, the Printing and Graphics Branch honors only requests originating with or cleared by AS/ISS.

4O. Updating of Handbooks

It is essential to keep the handbooks current. All offices responsible for handbooks will review them on an annual bases and certify that they are current on a predetermined date, arrived at in agreement which AS/ISS. Policy issued via notice or telegram, must also be incorporated into the appropriate handbook(s) without delay.

40

When temporary policy is established, the author office is to issue a circular for the appropriate handbooks(s).

4P. Obsolete References

In reviewing handbook texts to keep them current, be particularly careful to delete obsolete references, such as citations of organizational units that have been abolished.

ATTACHMENT 4A

INSTRUCTIONS FOR COMPLETING FORM AID 3-69,
AID DIRECTIVES SYSTEM - REVIEW REQUEST
(See SAMPLE copy on next page)

Block	Entry
Addressees	Following instruction on the latest version of Attachment 4B, show number of copies, office symbol, name, and room number for each addressee. Note that certain offices clear all issuances while others clear according to content
Return to	Give office symbol, room number and building to which clearance or comments should be sent.
Contact Person Telephone Code and Extension	Give name and telephone number of person in initiating office who is designated to receive inquiries.
Type of Directive and No.:	Indicate handbook and portion proposed for issuance or revision.
Subject:	Enter handbook title and, as applicable, chapter title(s) and major topic heading(s) of portions proposed for issuance or revision
Initiated By:	Enter organizational symbol of bureau or office proposing the change.
Date Sent Out:	Enter date of transmittal to reviewing offices.*
Comments Due By:	Enter a reasonable suspense date, normally 3 weeks (15 working days) after the date sent out.*
Directive(s) to Be Superseded:	Identify by handbook, chapter and, where appropriate, paragraph numbers.
Form to be Superseded:	Identify by number.
Background and Purpose:	Briefly summarize the proposed new provisions or changes.

Offices initiating Review Requests are to leave the remainder of the form blank for use by reviewing offices. This part of the form is self-explanatory.

*If the office is distributing the yellow draft copies as provided in 4E1, leave these date blocks blank on the original sent to Printing and Graphics Branch for reproduction; then enter the dates by date stamp on the individual yellow draft copies when they are returned. If AS/ISS/MM is handling distribution as provided in 4E2, coordinate with ISS/MM a realistic transmittal date; enter it and an appropriate suspense date in the respective blocks on the original that is sent to Printing and Graphics for reproduction.

Attachment 4A

AID DIRECTIVES SYSTEM — REVIEW REQUEST

TYPE OF DIRECTIVE AND NO.: HB 10, Ch. 12

ADDRESSEES
NO. COPIES: NAME: ORGANIZATION: ROOM NO. & BLDG.

1 IG/A/PPO B. Crandlemire 409 SA-16
1 ES J. Wolfe 5897 NS
1 GC/EPA J. Miller 6892 NS
1 POL/PAR G. Hill 3947 NS
1 OPS/MRC F. Herder 3729 NS
4 LAC/EMS K. Harley 3908 NS
4 AFR/MGT J. Jordan 2484 NS
4 ASIA/EMS V.R. Gray 3208 NS
4 EUR/EMS R. Williams 6484 NS
4 NE/EMS R. Ward 4527A NS
4 PRE/ADM D. Schuler 3208 NS
3 FA/AS/ISS/RM F. Allen 1209 SA-14
4 FA/AMS J. Rourke 2728 NS

SUBJECT: Participant Training - English Language Training

INITIATED BY:	DATE SENT OUT:	COMMENTS DUE BY:
OIT	0-00-00	0-00-00

DIRECTIVE(S) TO BE SUPERSEDED:	FORM(S) TO BE SUPERSEDED:
HB 10, Chapter 12	AID 1300-1, AID 1380-2

You are requested to review the attached proposed Directive. Please return this material with your comments or concurrence NO LATER THAN THE ABOVE DUE DATE. If not received by that date, your concurrence will be assumed, unless an extension has been requested and approved.

BACKGROUND AND PURPOSE OF PROPOSED DIRECTIVE *(If a revision, explain salient points of difference from existing directive(s) on this subject)*

Makes detailed changes in participant training English language training requirements.

RETURN TO *(Organization, Room No. & Bldg.)*
OIT 260 SA-16

CONTACT PERSON(S) TELEPHONE CODE & EXT.
John Doe 235-1870

COMMENTS *(Check appropriate action below. Use additional page for comments if necessary)*
If you disagree with any part of the attached material, indicate either on the attachment or by accompanying memorandum the exact language of any suggested change.

CONCURRED IN WITH CHANGES NOTED ABOVE OR SHOWN IN ATTACHMENT	NONCONCURRED IN FOR THE REASONS STATED ABOVE OR IN ATTACHMENT	CONCURRED IN WITHOUT CHANGE	NO COMMENT

SIGNATURE	OFFICE SYMBOL	TELEPHONE NUMBER	DATE

AID 3-69 (s— 78)

ATTACHMENT 4B
DIRECTIVES CLEARANCE OFFICERS

A. The following are to receive copies of all handbook clearance drafts:

No. of Copies	Office	Clearance Officers	Telephone Number	Room No. & Bldg.	
1	IG/A/PPO	Mr. B. Crandlemire	875-4303	409	SA-16
1	ES	Ms. J. Wolfe	647-8000	5897	NS
1	GC/EPA	Mr. J. Miller	647-8218	6892	NS
1	POL/PAR	Mr. G. Hill	647-8558	3947	NS
1	OPS/MRC	Mr. F. Herder	647-3992	3729	NS
4	LAC/EMS	Ms. K. Harley	647-9475	3908	NS
4	AFR/MGT	Ms. J. Jordan	647-2965	2484	NS
4	ASIA/EMS	Ms. V.R. Gray	647-7302	3208	NS
4	EUR/EMS	Mr. R. Williams	647-3694	6484	NS
4	NE/EMS	Mr. R. Ward	416-5914	4527A	NS
4	PRE/ADM	Ms. Drina Schuler	647-7302	3208	NS
3	FA/AS/ISS/RM	Mr. F. Allen	875-1573	1209	SA-14
4	FA/AMS	Ms. J. Rourke	647-8604	2728	NS

B. Selective distribution is made to the following, based on the relationship of handbook content to their offices' functions:

No. of Copies	Office	Clearance Officers	Telephone Number	Room No. & Bldg.	
1	EOP/OD	Ms. J. Pendarvis	663-1333	1224	SA-1
1	LEG/PD	Ms. B. Cook	647-8440	2895	NS
2	FHA/MGT	Mr. J. Donahue	235-0891	305	SA-8
1	XA/PI	Mr. J. Harper	647-1850	2884	NS
4	POL/EMS	Mr. B. Block	647-7656	3665	NS
9	R&D/MGT	Ms. B. Rogers	875-4161	522	SA-18
1	XA/ADM	Ms. C. Tucker	647-4278	4889	NS
1	R&D/OIT/RS	Ms. J. McKeever	875-4169	215	SA-16
2	FHA/OFDA	Mr. A. Natsios	647-8924	1262A	NS
1	IG/EMS	Mr. D. Mein	875-4110	410	SA-16
6	FM/FPS	Mr. R. Silc	663-2245	803	SA-2
2	HRDM/LER	Mr. W. Jones	663-1317	1430	SA-1
2	HRDM/PPM/PP	Mr. M. Trott	663-1435	1130	SA-1
6	FA/PPE	Ms. K. O'Hara	875-1534	1601	SA-14
2	FA/OMS	Ms. B. Dotherow	875-1616	1600	SA-14
1	FA/IRM/PMA	Mr. W. Van Vechten	875-1440	1142	SA-14
1	HRDM/ADM	Ms. M. F. Moore	663-1324	1219	SA-1

ATTACHMENT 4C

REQUEST FOR REPRODUCTION OF CLEARANCE DRAFT
FORM AID 5-18 - PRINTING/DISTRIBUTION REQUEST

Example 1. When originating office is to make distribution (see 4F1)

CONTROL NO.	PRINTING/DISTRIBUTION REQUEST	Security Classification UNCLASSIFIED	Completion date (ISS Use ONLY)
Requested by J. McKeever		Date Submitted 0-00-00	Date Required 0-00-00
Office Symbol OIT	Room/Building Number 215 SA-16	Mail Stop 20523 - 1601	Telephone Ext. 235-1984

I. PRINTING

Document Title or Description	No. of Pages	Finished Size	Quantity	Print
HB 10, Ch. 12	18	8½ x 11	40	☐ 1 side ☒ 2 sides

Printing Instructions

☐ Duplicating ☒ Offset ☒ Staple ☒ Assemble ☐ Punch/Drill ☐ Wrap ☐ Other *(Specify)* _____

Special Printing Instructions

Please Print on Yellow Paper

Cleared - FA/AS/ISS - 0-00-00
F. Allen - 875-1573

II. DISTRIBUTION *(see reverse for instructions)*

List Name	List Number	Attention Clause	Date Received (ISS Use ONLY)
J. McKeever			

III. DELIVER EXTRA COPIES TO

Name	Office Symbol	Room Number	Building	Telephone Ext.

IV. APPROVING OFFICIAL

Typed Name	Title	Signature
J. McKeever	Management Analyst	

AID 5-18 (12-90)

Example 2. When Distribution Branch is to make distribution (see 4F2)

CONTROL NO.	PRINTING/DISTRIBUTION REQUEST	Security Classification	Completion date (ISS Use ONLY)
		UNCLASSIFIED	

Requested by	Date Submitted	Date Required
J. McKeever	0-00-00	0-00-00

Office Symbol	Room/Building Number	Mail Stop	Telephone Ext.
OIT	215 SA-16	20523 - 1601	235-1984

I. PRINTING

Document Title or Description	No. of Pages	Finished Size	Quantity	Print
HB 10, Ch. 12	18	8½ x 11	40	☐ 1 side ☒ 2 sides

Printing Instructions

☐ Duplicating ☒ Offset ☒ Staple ☒ Assemble ☐ Punch/Drill ☐ Wrap ☐ Other *(Specify)* _____

Special Printing Instructions

Please print on yellow paper

Cleared - 0-00-00 - FA/AS/ISS
F. Allen - 875-1573

II. DISTRIBUTION *(see reverse for instructions)*

List Name	List Number	Attention Clause	Date Received (ISS Use ONLY)
Distribute to addressees on form AID 3-69	see form AID 3-69		

III. DELIVER EXTRA COPIES TO

Name	Office Symbol	Room Number	Building	Telephone Ext.

IV. APPROVING OFFICIAL

Typed Name	Title	Signature
J. McKeever	Management Analyst	

AID 5-18 (12-90)

ATTACHMENT 4D

A.I.D. DIRECTIVES SYSTEM - ISSUANCE REQUEST
(Complete reverse of form)

Item Number *(IRM/PE use only)*

TO: Office of Information Resources Management
Planning and Evaluation Division (MS/IRM/PE)

FROM: *(Office/Bureau)* OIT

Issuance Number and Subject

HB 10 - Participant Training, Ch. 12 - English Language Training and Testing

Type of Issuance

- [X] Handbook Change
- [ ] Handbook Circular
- [ ] Policy Determination
- [ ] Cancellation
- [ ] AID/W Notice
- [ ] AID General Notice
- [ ] Other *(specify)*

Distribution Required for Handbook Material	Proposed Effective Date	Proposed Distribution Date
[X] Regular [ ] Special *(see remarks)*	0-00-00	0-00-00

Distribution Required for Notices

AID/W *('X' one box only)*
- [ ] Office Heads
- [ ] Circulate 1 to 3
- [ ] All Professionals
- [ ] All Employees

FIELD *('X' one box only)*
- [ ] All Professionals
- [ ] All Employees

Name of Drafter(s)

OIT

Address Inquires to	Organization Symbol	Contact's Name	Room Number and Building	
	OIT	John Smith	215	SA-16

Remarks

We request issuance of the attached final draft, which has been prepared and cleared in accordance with Part I, Handbook 18. Pertinent background material is attached including the originals of all responses received from clearing offices. Our actions on clearers' comments are summarized on the back of this form.

Signature of Requesting Official	Typed Name and Title	Date Transmitted
	J. McKeever	0-00-00

PROCESSING RECORD *(IRM/PE use only)*

Clearance Approved	Edited, References Checked	Forms Approved	Reports Approved	Typed	Date Received
Proofed	Corrected	Number of Pages	TM Number	Issuance Approved	
To Print	Distribution Needed	Distribution Made			

Special Instructions

CHAPTER 5

HANDBOOK CIRCULARS

5A. Purpose

AID Handbook Circulars supplement individual AID handbooks and can be used for two types of material:

1. Material effective only for a limited period; typically, a year or less.

2. Material that is continuing in its effect but which must be issued at once in temporary form and reworked as part of a handbook later. Hold circulars in this category to a minimum, since it entails more work for the author offices.

5B. Applicability

This chapter applies to temporary guidance to offer a quick update to Agency handbooks.

5C. Authority

FIRMR 201-9.103

5D. Policy

1. Material must be for a limited time and must contain an expiration date. When the expiration date has been reached. FA/AS/ISS will remove the information from the handbook.

2. Material continuing in effect must be worked into the handbook with the next annual review and certification of the handbook.

5E. Responsibilities

1. Author office

a. Review of the circular's subject matter to implement into the appropriate handbook.

b. Clearance from minimum required number of offices.

5E

2. FA/AS

a. Provide guidance to author office for clearance inclusion procedures into the handbook.

b. Monitor expiration date of limited time circular and inclusion of information by annual review/certification date.

5F. Initiating Handbook Circulars

If it is necessary to have a handbook circular issued, consult AS/ISS. AS/ISS will review with you:

1. the need for publishing a handbook circular rather than a handbook change,

2. the role of the author office, if the circular's subject matter falls in a handbook for which another office has primary responsibility,

3. requirements for quick clearance with a minimum number of offices,

4. acceptable variations from standard handbook style and format, and

5. an appropriate date for cancellation if the circular is to apply only for a limited period, or for incorporation into a handbook if it is continuing in its effect.

5G. Forms and Reports

If the proposed circular involves a new or modified reporting requirement, form, or format, check with AS/ISS at the time of initiation. (See Part V, Chapter 4 and 5).

5H. Clearance

Use form AID 3-69, AID Directives System - Review Request, to circulate the draft to selected Directives Clearance Officers (see Attachment 4A and 4B to Chapter 4). Show on the face of form AID 3-69:

1. the reasons the material must be issued as a circular,

2. a summary of its purposes and effects,

3. references to handbook passages affected,

4. the proposed effective date and the reasons for it, and

5. the time the circular is to cover, if it is effective for a limited period.

5I. Clearing Offices

Reply to the initiator as quickly as possible--informally, if this will expedite matters. Consider the urgency of the issuance and apply a somewhat more flexible standard than with regular handbook issuances, as warranted by the temporary effectiveness of the circular or other circumstances.

5J. Final Action

Final actions by the originating office, and Administrative Services, Information Support Services Division (AS/ISS), are as shown in 4H, 4I, and 4J of chapter 4.

CHAPTER 6

OTHER AID DIRECTIVE ISSUANCES

6A. Purpose

This chapter provides guidelines of other forms of directives available for dissemination of information.

6B. Applicability

This chapter applies to those types of directives that are for quick, often sensitive notification of information or policy. These directives may later be included within an AID handbook, if appropriate.

6C. Policy Determinations

1. Policy determinations are used for formally communicating the Administrator's views and as a device for raising significant policy issues to the highest levels in the Agency for decision. The medium is reserved for matters warranting the Administrator's personal attention. Policy Determinations ordinarily provide broad general guidance and are implemented as soon as possible after issuance by detailed handbook material.

2. A Policy determination may originate at any level where the need for one is recognized. Formally, however, only Assistant Administrators and heads of offices and staffs reporting directly to the Administrator may initiate policy determinations (other than those initiated personally by the Administrator or Deputy Administrator). Ordinarily a proposed policy determination is prepared as an attachment to an action memorandum for the Administrator, given the required staff clearance, and forwarded to the Administrator through the Executive Secretary (ES). (See Handbook 21, Supplement A, Section V.H.)

3. After the Administrator has approved, ES forwards the original action memorandum, policy determination, and supporting materials to AS/ISS, which issues the policy determination under the distinctive policy determination masthead in Handbook 1 and any other appropriate handbook.

4. A list of extant policy determinations is given as Attachment 6A.

6D. AID Regulations

1. AID Regulations requiring public notice or action are first published in the Federal Register, as required by the Administrative Procedure Act. They are also codified in the Code of Federal Regulations (CFR).

6D

2. After AID Regulations or amendments to them appear in the Federal Register, AS/ISS arranges for their publication in the appropriate handbook, consulting with responsible staff offices as necessary.

3. A list of extant AID Regulations, showing their locations within the handbook system, is given as Attachment 6B.

4. U.S. Government Agencies have been required by Section 5(b) of Executive Order No. 12291, Improving Government Regulations, to publish a report in the Federal Register describing their policies and procedures governing regulations which affect the public.

6E. Joint Issuances

1. To achieve maximum uniformity in the treatment of overseas personnel and in overseas administrative practices, the foreign affairs agencies jointly develop Uniform Foreign Affairs Regulations, often referred to as Joint Regulations. After initial publication by State in the Foreign Affairs Manual (FAM), the regulations are individually published by AID and USIA in identical text. (Similarly, detailed joint procedures are developed and published in the Foreign Affairs Handbook (FAH), with AID and USIA subsequently publishing identical texts in their respective media.)

2. When a State Department office originates a new or revised joint regulation, it circulates copies of the Clearance Request draft within the Department, including a copy to the State Directives Staff (FAIM/DIR). A copy is also sent to AS/ISS and USIA Directives (M/M). AS/ISS refers the draft to the appropriate AID office for action and requests such office to circulate copies within AID for clearance to the appropriate AID offices listed in Attachment 4B under cover of form AID 3-69 (see Attachment 4A-2) and return a final AID draft to AS/ISS. AS/ISS forwards the final AID draft to the originating office in the Department, which incorporates the AID changes (if any) and sends a formal publication request to FAIM/DIR. FAIM makes sure that the joint regulation has been properly cleared, and publishes it in the FAM. Copies are distributed to AS/ISS and the USIA Directives Staff for issuance in their directives systems.

3. When an AID office originates a change, it circulates a draft under cover of a form AID 3-69 to the appropriate AID offices listed in Attachment 4B, its counterpart office in the Department, AS/ISS, and FAIM/DIR. When all comments and changes have been received and incorporated, the originating AID office forwards a final draft to AS/ISS. AS/ISS reviews State, AID, and USIA clearances and forwards the final draft to FAIM/DIR for issuance in the FAM. Issuance in the AID/USIA directives system follows, as in 6C2. Flow charts illustrating the procedures described in 6C2 and 3 appear as Attachments 6F and 6G.

6E

4. Pertinent provisions of the Foreign Affairs Manual on Uniformity among the Agencies (2 FAM 120) are shown as Attachment 6C. (For complete listing of Joint Regulations showing location within the handbook system, see Attachment 6D.)

6F. AID Notices

1. AID Notices are used to disseminate official information of significant but temporary interest--designations of official, relocations of offices, announcements of important meetings, requirements for a one-time action by employees, etc. Notices are not used for any material that is to be retained for any length of time, since they are essentially a temporary, throw-away medium. Recipients should not maintain chronological notice files.

2. Notices may be given any of several distributions in Washington only or in Washington and overseas. Those receiving Washington distribution only are referred to as AID/W Notices, the others as AID General Notices.

3. Originating offices draft and transmit notices for publication to AS/ISS under cover of form AID 3-252, AID Directives System - Issuance Request. Indicate any necessary clearances you have obtained on the back of the form. Specify the distribution required, keeping it no greater than necessary.

4. Notices are normally used to announce appointments, or designations of acting officials, only at the level of office director or higher. Offices submit a justification to AS/ISS if they consider that an appointment or designation below these levels should be announced by a notice. The requesting offices have the option either to prepare "acting designation" notices in final form, or, in those cases when time is critical, to provide the text of these notices to AS/ISS by telephone. Form AID 3-252 accompanying notices designating acting officials are to indicate the clearance of the official to whom the appointee reports. To assure that "acting designation notices" are given timely distribution, requesting offices will be expected to provide "acting designation" notices to AS/ISS either in final typed form or by telephone at least five working days before the period of designation becomes effective.

5. Notices announcing office relocations, telephone changes, and changes in mail stops, are to be cleared by Property and Purchasing, Real Property (FA/AS/PP/RP) and Information Support Services, Mail Management (FA/AS/ISS/MM), before submission to AS/ISS for processing. To provide accurate complete information, the notice should include the office symbol, room number, location, mailstop code, and telephone numbers.

6G. Supplementary Issuances

1. Supplementary issuances are directives that are so specialized in content and application that they are best issued in their own distinctive series and formats and not as handbook material. By contrast with internal issuances (6F below), they apply outside the originating office. Their content is typically such that they require little or no clearance outside the originating office, which is responsible to assure consistency with all pertinent handbook provisions and other applicable policies.

2. Consult AS/ISS if you want authority for a supplementary issuance series.

3. A list of currently authorized supplementary issuance series is shown as Attachment 6E.

6H. Internal Issuances

1. Each Assistant Administrator, office director, or comparable official in AID/W, and each head of an overseas organization, is authorized to issue internal directives applicable strictly within the official's own organization. Originating offices are responsible for the consistency of their internal directives with AID policies and procedures.

2. In AID/W, AS/ISS/MM will reproduce internal issuances in reasonable quantities on the originating office's request, without clearance from AS/ISS.

3. On request, originating offices will make their internal issuance files available for inspection by AS/ISS and/or put AS/ISS on distribution for these issuances.

6I. Manual Issuances

All AID manual orders and manual circulars have been superseded or incorporated into handbooks.

6J. Circular Telegrams

1. Because Agency-wide (AWIDE) circular messages often impose questionable workload on overseas posts--particularly smaller posts--the Administrator has approved that all AWIDE circular messages be reviewed

6J

and cleared by the office of the Executive Secretary (ES) and the Directorate for Operations (OPS). The Telecommunications/Computer Operations staff (FA/IRM/TCO) will routinely screen AWIDE circular messages for these clearances and will automatically return them to drafting offices if they are not indicated.

2. Circular messages to missions may contain guidance which supplements or amends AID handbook provisions. For this reason, AS/ISS is to be placed as INFO on all circular messages sent worldwide or to all principal posts.

3. On other messages, the originating office is to INFO AS/ISS if it appears that the message content is AID handbook or directives system material, or interprets, supplements, or conflicts with an AID handbook.

ATTACHMENT 6A

POLICY DETERMINATIONS

The below listed policy determinations are filed in Supplement A to Handbook 1. They are also filed in other handbooks as indicated under "Where Filed" column.

PD Number	Subject	Date Approved	Where Filed	Responsible Office
37	AID's Role with Respect to Non-AID Resources in the Total Foreign Assistance Effort	2-10-67	Also Sup A1, Handbook 2	POL
47	Guidelines on Research	9-13-72	Annex A, Handbook 1	R&D
48	Employment and Income Distribution Objectives for AID Programs and Policies	10-2-72	Also Sup B1, Handbook 2	POL/PAR
50	AID and the Relatively Less Developed Countries	1-12-73	Also Sup A4, Handbook 2	POL/PAR
51	Guidance Statement on Selected Aspects of Science and Technology	1-12-73	Also Sup F1, Handbook 2	R&D
52	Policy Determination on Labor-Manpower (Administrator's Transmittal Message)	5-2-73	Also Sup B2, Handbook 2	A/AID
61	Requesting Accelerated Payment on AID Loans	9-16-74	Also Sup A4b, Handbook 2	POL/PAR
66	Criteria for Determining AID Loan Terms and for Requesting Acceleration of Loan Repayments	4-22-76	Also Sup A4c, Handbook 2	POL/PAR

PD Number	Subject	Date Approved	Where Filed	Responsible Office
69	Development Administration	2-10-77	Also Sup B6, Handbook 2	R&D
71	AID Financing of Palm Oil, Citrus and Sugar Projects and Related Products	5-12-78	Annex A, Handbook 1	POL/PAR
73	Policy on AID-U.S. Cooperative Organization Relationships	3-30-80	Sup A, Handbook 1	POL/PAR
74	AID Forestry Programs and Policies	4-15-81	Sup A, Handbook 1	POL/PAR

The following policy determinations are filed in Parts I through V of Handbook 1.

PD Number	Subject	Date Approved	Where Filed	Responsible Office
1	Narcotics	8-5-82	III.C.7	POL/PAR
2	Mixed Credits	9-29-82	IV.E	POL/PAR
3	Voluntary Sterilization	9-8-82	II.E	POL/PAR
4	Title XII	10-5-82	IV.G	POL/PAR
8	Participant Training	7-13-83	II.K	POL/PAR
9	Loan Terms Under PL 480 Title I	9-27-83	V.A1	POL/PAR

PD Number	Subject	Date Approved	Where Filed	Responsible Office
10	Development Communications	2-17-84	II.I	POL/PAR
11	Using PL 480 Title II Food Aid for Emergency or Refugee Relief	7-26-84	IV.B2	POL/PAR
12	Human Rights	9-26-84	III.B1	POL/PAR
13	Land Tenure	5-9-86	II.A2	POL/PAR
14	Implementing AID Privatization Objectives	6-16-86	III.A5	POL/PAR
15	Assistance to Support Agricultural Export Development	9-13-86	II.A4	POL/PAR
16	Program Financing Arrangements with Independent Organizations	10-9-87	III.C9	POL/PAR
17	Microenterprise Development Program Guidelines	10-10-88	III.C10	POL/PAR
18	Local Currency	7-30-91	IV.B1	POL/PAR

ATTACHMENT 6B

AID REGULATIONS

AID REGULATIONS NUMBER	SUBJECT	HANDBOOK	AUTHORSHIP RESPONSIBILITY
1	Rules and Procedures Applicable to Commodity Transactions Financed by AID	Handbook 15, App A	FA/PPE
2	Overseas Shipments of Supplies by Voluntary Nonprofit Relief Agencies	Handbook 3, App 4E	FHA/PVC
3	Registration of Agencies for Voluntary Foreign Aid	Handbook 3, App 4C	FHA/PVC
4	Housing Guaranty Standard Terms and Conditions	22 CFR 204 (not in Handbooks)	PRE/H
5	Payments to and on Behalf of Participants in Nonmilitary Economic Development Training Programs	22 CFR 205 (not in Handbooks)	R&D/OIT
6	Testimony by Employees and the Production of Documents in Proceedings Where AID is Not a Party	22 CFR 206 (not in Handbooks)	GC
7	Indemnification of Employees	22 CFR 207 (not in Handbooks)	GC
8	Suppliers of Commodities and Commodity-related Services Ineligible for AID Financing	Handbook 15, App 12A	FA/PPE
9	Nondiscrimination in Federally Assisted Programs of AID Effectuation of Title VI of the Civil Rights Act of 1964	22 CFR 209 (not in Handbooks)	FHA/FFP

AID REGULATIONS NUMBER	SUBJECT	HANDBOOK	AUTHORSHIP RESPONSIBILITY
10	Donation of Dairy Products to Assist Needy Persons Overseas (416 Program)	22 CFR 210 (not in Handbooks)	FHA/FFP
11	Transfer of Food Commodities for Use in Disaster Relief and Economic Development and Other Assistance (PL 480, Title II)	Handbook 9, App C	FHA/FFP
12	Public Information	Handbook 18, Pt. III, Attachment 11B	XA
13	Collection of Civil Claims by the Agency for International Development	Handbook 19, Att 7C	FM
14	Advisory Committee Management	Handbook 17, Ch 40	FA/B
15	Implementation of Privacy Act of 1974	Handbook 18, Pt. III, Appendix 12B	XA
16	Environmental Procedures	22 CFR 216	POL
17	Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance	22 CFR 217 (not in Handbooks)	GC
18	Nondiscrimination on the Basis of Age In Programs or Activities Receiving Federal Financial Assistance	22 CFR 218 (not in Handbooks)	GC
19	Enforcement of Non-Discrimination on the Basis of Handicap in Programs or Activities Conducted by International Development Cooperation Agency Agency for International Development	22 CFR 219 (not in Handbooks)	GC

AID REGULATIONS NUMBER	SUBJECT	HANDBOOK	AUTHORSHIP RESPONSIBILITY
20	General Provisions	22 CFR 220 (not in Handbooks)	GC
22	Miscellaneous Provisions	22 CFR 222 (not in Handbooks)	GC
23	Administrative Enforcement Procedures of Post-Employment Restrictions	22 CFR 223 (not in Handbooks)	GC
24	Implementation of the Program Fraud Civil Remedies Act	22 CFR 224 (not in Handbooks)	GC

120
UNIFORMITY AMONG THE AGENCIES

121 POLICY

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

a. Uniformity in the treatment of overseas personnel and in overseas administrative practices is a major goal of the Department of State, the Agency for International Development (AID), and the United States Information Agency (USIA).

b. Achievement of uniformity necessitates recognition of each Agency's responsibilities and differing legislative, policy, and organizational restrictions.

122 RESPONSIBILITIES

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

Agencies are responsible for uniformity in Washington and in the field.

122.1 Washington

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

a. The Washington offices of State, AID, and USIA are responsible for issuing regulations on uniform administrative practices among the three Agencies (and others, *such as* the Peace Corps, Department of Defense, etc., whenever feasible).

b. A Joint Regulations Board, composed of the Chief, Directives *Branch*, Department of State, who is chairperson, and one representative each from AID and USIA, administers the uniform regulations program under direction of the senior administrative officers of the three Agencies.

122.2 Field

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

a. The President's letter of September 23, 1981 (see 1 FAM 013.2), places on the ambassador the responsibility "to oversee the operation of all United States Government programs and activities" in the ambassador's country of assignment.

b. Therefore, after consultation with heads of other Agency missions, the ambassador:

(1) Issues uniform local rules and practices to implement effectively the uniform regulations issued by Washington; or

(2) On administrative matters not covered by uniform regulations from Washington, issues uniform local rules subject to law and to the policies and regulations, if any, separately prescribed by either of the three Agencies' headquarters.

c. Difficulties in adopting uniform local rules and practices because of differences in the Agencies' policies or program requirements should be reported to Washington with suggestions for development of uniform regulations.

d. In drafting messages to Washington on subjects involving uniform regulations, drafting officers should collaborate with counterparts in other Agencies with a view to making the message uniform.

123 and 124 Unassigned

125 BASIC PRINCIPLES FOR OVERSEAS COMBINED ADMINISTRATIVE SUPPORT SERVICES

125.1 General

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

a. Under the direction of the ambassador, who is responsible for the supervision and coordination of all activities of the United States diplomatic mission in the country of the ambassador's assignment, the Department of State, the Agency for International Development, the United States Information Agency, and other U.S. Government Agencies participate, where practical, in joint arrangements to provide required levels of administrative support services to their personnel assigned overseas.

b. Administrative support at diplomatic missions is normally provided by the Department of State. However, at specific missions where another Agency may be in the best position to provide certain administrative support services to other Agencies, such an Agency with Washington approval may be delegated responsibility for providing these services.

125.2 Criteria/Guidelines

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

Combined servicing is encouraged when the *criteria that follow* are or will be met to the satisfaction of potential participating Agencies.

125.2-1 Effectiveness

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

All *administrative* support arrangements will provide an essential level of service rendered in a manner which is responsive to the needs of the serviced Agencies.

125.2-2 Capability

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

Normally, the Agency in the best position, in terms of support personnel at the mission, should provide administrative services to other Agencies. When full consolidation is not practical, cross-servicing which results in economy or improved services is encouraged.

125.2-3 Economy

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

Combined services should result in savings to the U.S. Government when it is possible to:

(1) Reduce or combine staffs, whether supervisory or nonsupervisory, U.S. or local national;

(2) Eliminate duplicate facilities, such as warehouses, motor pools, office space, or printing plants; or

(3) Combine the management of *expendable and nonexpendable supplies*. Nonexpendable supplies and equipment will continue to be purchased by and carried on the inventory of the using Agency.

125.3 Methods

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

There are two basic methods of combining *administrative* support arrangements.

125.3-1 Individual Functions

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

a. Service may be acquired by one Agency from another Agency at post for any individual service:

(1) Where the capacity of the servicing Agency enables it to provide the service;

(2) Where the acquiring Agency does not have and does not wish to develop the capability necessary to provide essential support of this nature; and

(3) When the servicing Agency can provide adequate service at lower cost.

b. Under these circumstances, the administrative element of the serviced Agency maintains a simple contractual relationship with the servicing Agency.

125.3-2 Total Support

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

When essentially all administrative support functions (excluding the AID mission controller function) are performed by one Agency for two or more other major Agencies at post, these services are managed by a joint administrative office (JAO).

125.4 Approval

(TL:GEN-94; 8-16-67)
(Uniform State/AID/USIA)

Approval authority for entering into joint servicing agreements depends upon the method employed. Under "individual/functional" cross-servicing, chiefs of Agency missions are authorized to enter into arrangements under the criteria specified in section 125.2. When the degree of service obtained from one other Agency at post meets the level described as "total support," or when formal JAO's are established, Washington approval is required.

125.5 Funding

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

Reimbursement to the administering Agency for all combined support arrangements will be made in accordance with the provisions of the *Foreign Affairs* Administrative Support System (including funding for cross-servicing arrangements). Each Agency directly funds costs from its own allotments for goods and services required solely for the use of that Agency. In this connection, funding of cross-servicing agreements may be handled at post directly between the Agencies concerned.

125.6 Staffing

(TL:GEN-94; 8-16-67)
(Uniform State/AID/USIA)

Since the competence of key personnel is the major factor in the success of any combined support

organization, qualified individuals are selected without regard to parent Agency and, as appropriate, may be detailed or assigned to the Agency providing the support service on a reimbursable basis. Assignments of key individuals to JAO positions will be cleared by the Washington regional management, executive, or administrative office of appropriate Agencies.

125.7 Regulations

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

Major Agencies participating in combined *administrative* support arrangements will attempt to enlarge the body of uniform regulations which govern the provision of these services. Where an Agency has special legislative authority or restrictions not applicable to other Agencies, the regulation will recognize variations in support.

125.8 Washington Backstopping

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

a. Major Agencies participating in combined *administrative* support arrangements will designate coordinators at the Washington level to whom problems relating to joint servicing can be referred. Specifically:

(1) A single individual will be designated in such Agencies to resolve problems of agency-wide significance that may arise; and

(2) Single representatives, at the regional management or administrative office level, will be designated to respond to operational requirements.

b. A list of Agency representatives will be prepared and maintained by the Office of the Under Secretary for Management in State and made available to the Agencies involved.

c. Responsibility for leadership and coordination of Washington backstopping will rest with the appropriate regional Assistant Secretary of the Department of State, in conformity with the principles of NSAM-341 of March 2, 1966.

125.9 Performance Review

125.9-1 Operations

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

All Agencies concerned in combined *administrative* support arrangements will periodically appraise and review the performance of combined service organizations. Particular attention will be paid to the identification of problem areas and the development of mechanisms to improve the service. Primary responsibility for the maintenance of satisfactory service is vested in the office of the appropriate regional Assistant Secretary of the Department of State.

125.9-2 Staff

(TL:GEN-262; 10-5-89)
(Uniform State/AID/USIA)

Supervisors will rate subordinates in combined support arrangements according to the standards and on the rating forms used by the subordinates' parent Agencies. The ambassador or deputy chief of mission (DCM) will rate the JAO chief. When the DCM is the rating officer, the ambassador will act as reviewing officer. The head of each serviced Agency will provide the ambassador or DCM with an advisory report to assist in preparing the evaluation. With the exception of AID employees, such an advisory report by the rated member's parent Agency will also be included as an attachment to the evaluation. AID procedures do not permit the use of attachments to the EER. However, written comments on special acts or special performance by AID employees, above and beyond those normally treated as evaluation factors in the yearly EER, may be forwarded for review and possible inclusion in the employee's evaluation folder as a separate exhibit.

126 through 129 Unassigned

ATTACHMENT 6D

LIST OF UNIFORM FOREIGN AFFAIRS REGULATIONS IN THE HANDBOOK SYSTEM

The following listing shows the location of those sections of the Uniform Foreign Affairs Regulations and FAMC Issuances that are included in the AID Handbook system.

SECTION NUMBER	SUBJECT	LOCATION IN HANDBOOKS
2 FAM 060	Foreign Disaster Emergency Relief	Handbook 23, App 12D
2 FAM 120	Uniformity Among the Agencies	Handbook 18, Pt I, Att 6C Handbook 23, App 3A
2 FAM 164	Temporary Transfer	Handbook 26, App 2A
2 FAM 170	Post Reports	Handbook 23, Att 1A
2 FAM 180	Acts of Violence (to Persons or Property Overseas)	Handbook 23, App 12A
2 FAM 190	Designation of Emergency Addressees	Handbook 29, App 2G
2 FAM 600	Elementary & Secondary Education Overseas	Handbook 23, App 9A
3 FAM 228	Charge D Affaires Pay	Handbook 26, Att 2A
3 FAM 230	Premium Compensation	Handbook 26, App 8A
3 FAM 310	Allowances (General)	Handbook 26, App 13A
3 FAM 320	Living Quarters Allowance	Handbook 26, App 13A
3 FAM 330	Danger Pay Allowance	Handbook 26, App 13A
3 FAM 340	Representation Allowances	Handbook 26, App 13A
3 FAM 350	Official Residence Expenses	Handbook 26, App 13A
3 FAM 370	Post Differentials	Handbook 26, App 13A
3 FAM 390	Advance of Pay Upon Assignment to a Post in a Foreign Area	Handbook 26, App 13A
3 FAM 410	Hours of Duty	Handbook 27, App 1A
3 FAM 420	Leave	Handbook 27, App 2A

SECTION NUMBER	SUBJECT	LOCATION IN HANDBOOKS
3 FAM 430	Annual Leave	Handbook 27, App 3A
3 FAM 440	Sick Leave	Handbook 27, App 4A
3 FAM 450	Home Leave	Handbook 27, App 5A
3 FAM 460	Other Absences in Pay Status	Handbook 27, App 6A
3 FAM 470	Absence in Nonpay Status	Handbook 27, App 7A
3 FAM 480	Officers Exempted from Leave Act	Handbook 27, Att 9A
3 FAM 490	Disposition of Leave Balances	Handbook 27, Att 10A
3 FAM 610	Commissions, Titles , and Ranks	Handbook 25, Att 41A
3 FAM 620	Employee Responsibilities and Conduct	Handbook 24, Att 2C
3 FAM 622	Suitability Guidelines for Appointment and Continued Employment	Handbook 30, Att 5B
3 FAM 623	Guidelines for Personnel Taken Hostage	Handbook 23, App 12B
3 FAM 628	Speaking, Writing, and Teaching	Handbook 18, Pt III, Att A Handbook 24, Att 2E
3 FAM 629	Employee Marriage, Equivalent Bonds, and Cohabitation	Handbook 25, Att 33A
3 FAM 640	Incentive Awards Program	Handbook 29, Att 5A3
3 FAM 660	Foreign Service Grievance System	Handbook 29, App 4A
3 FAM 670	Retirement	Handbook 30, Sup 3C Handbook 29, App 7C
3 FAM 675	Civil Service Retirement System	Handbook 29, App 7D
3 FAM 679	Social Security Coverage	Handbook 29, App 7E
3 FAM 680	Medical Health Program	Handbook 29, App 7F
3 FAM 692	Death Gratuity	Handbook 29, App 7H

SECTION NUMBER	SUBJECT	LOCATION IN HANDBOOKS
3 FAM 693	Unemployment Compensation	Handbook 29, App 7I
3 FAM 694	Federal Employees' Group Life Insurance (FEGLI)	Handbook 29, App 7J
3 FAM 695	Alcoholism and Drug Abuse Program	Handbook 29, App 8A
3 FAM 696	Federal Employees Health Benefits Program (FEHB)	Handbook 29, App 7K
3 FAM 697	Deaths, Serious Accidents, or Serious Illness	Handbook 23, App 12C
3 FAM 698	Rest and Recuperation	Handbook 29, App 7L
3 FAM 699	Visitation Travel	Handbook 29, App 7M
3 FAM 760	Disciplinary Action (including Separation for Cause)	Handbook 30, Att 5A
4 FAM 360	Procedure for Effecting Salary Payments to Local Employees in Cash	Handbook 19, Att 14H
4 FAM 553	Employee's Withholding Allowance Certificate	Handbook 26, Att 7E
4 FAM 554	U.S. Energy Savings Bonds	Handbook 26, Att 7C
4 FAM 556	Allotments of Pay	Handbook 26, Att 7D
4 FAM 557	Collection and Adjustment of Salary Overpayment	Handbook 26, Att 7F
4 FAM 558	Federal Employees Group Life Insurance Act (FEGLIA)	Handbook 29, App 7A
5 FAM 600	Electromagnetic Radiation Security of Office Equipment	Handbook 20, Att 12C
6 FAM 100	Travel, Transportation, and Storage of Effects	Handbook 22, App 9A
6 FAH H-100	General Policy	Handbook 22, App 9A1

SECTION NUMBER	SUBJECT	LOCATION IN HANDBOOKS
6 FAM 220	Personal Property Management (Overseas)	Handbook 23, App 4A
6 FAM 228	Use and Control of Official Vehicles	Handbook 23, App 6A
6 FAM 240	Uniforms and Protective Clothing	Handbook 26, Att 14A
6 FAM 310	Claims for Private Personal Property Losses	Handbook 23, App 10A
6 FAM 320	Evidence in Support of Claims	Handbook 23, App 10A
6 FAM 510	Legislative Authority and Applicability	Handbook 23, App 8A
6 FAM 520	Principal Officer Responsibilities	Handbook 23, App 8A
6 FAM 530	Employee Organizations and Contracting Procedures	Handbook 23, App 8A
6 FAM 540	Tax Liabilities	Handbook 23, App 8A
6 FAM 550	Use of APO/FPO Facilities	Handbook 23, App 8A
6 FAM 560	Employee Association Owned or Leased Facilities & Properties	Handbook 23, App 8A
6 FAM 610	Safety and Occupational Health Program Management	Handbook 23, App 7A
6 FAM 700	Foreign Building Operations	Handbook 23, App 5A
6 FAM 1740	Parking Program Administration	Handbook 20, Ch 5
7 FAM 877	Voting by Absentee Ballot	Handbook 29, App 2H

ATTACHMENT 6E

AID DIRECTIVES SYSTEM

SUPPLEMENTARY ISSUANCES

Contract Information Bulletins Issued by: FA/PPE

Addressed primarily to contracting officers. Provide general information, not regulatory in nature, supplementing the Procurement Regulations (Handbook 14).

Equal Opportunity Notices Issued by: Office of Equal Opportunity Programs

Addressed primarily to AID/Washington employees. Provide information on training opportunities and other matters of interest under AID's equal opportunity programs.

Participating Agency Bulletins Issued by: Participating Agency Staff, FA/PPE

Addressed primarily to participating agency personnel administering AID matters. Cover subjects requiring, on a continuing basis, a definite action or change of procedure by participating agencies. Supplement Handbook 12, Use of Federal Agencies.

Participating Agency Notices Issued by: Participating Agency Staff, FA/PPE

Addressed primarily to participating agency personnel administering AID matters. Covers informational items and material of only temporary significance. Supplement Handbook 12, Use of Federal Agencies.

AID Training News Issued by: Training and Development Division, HRDM

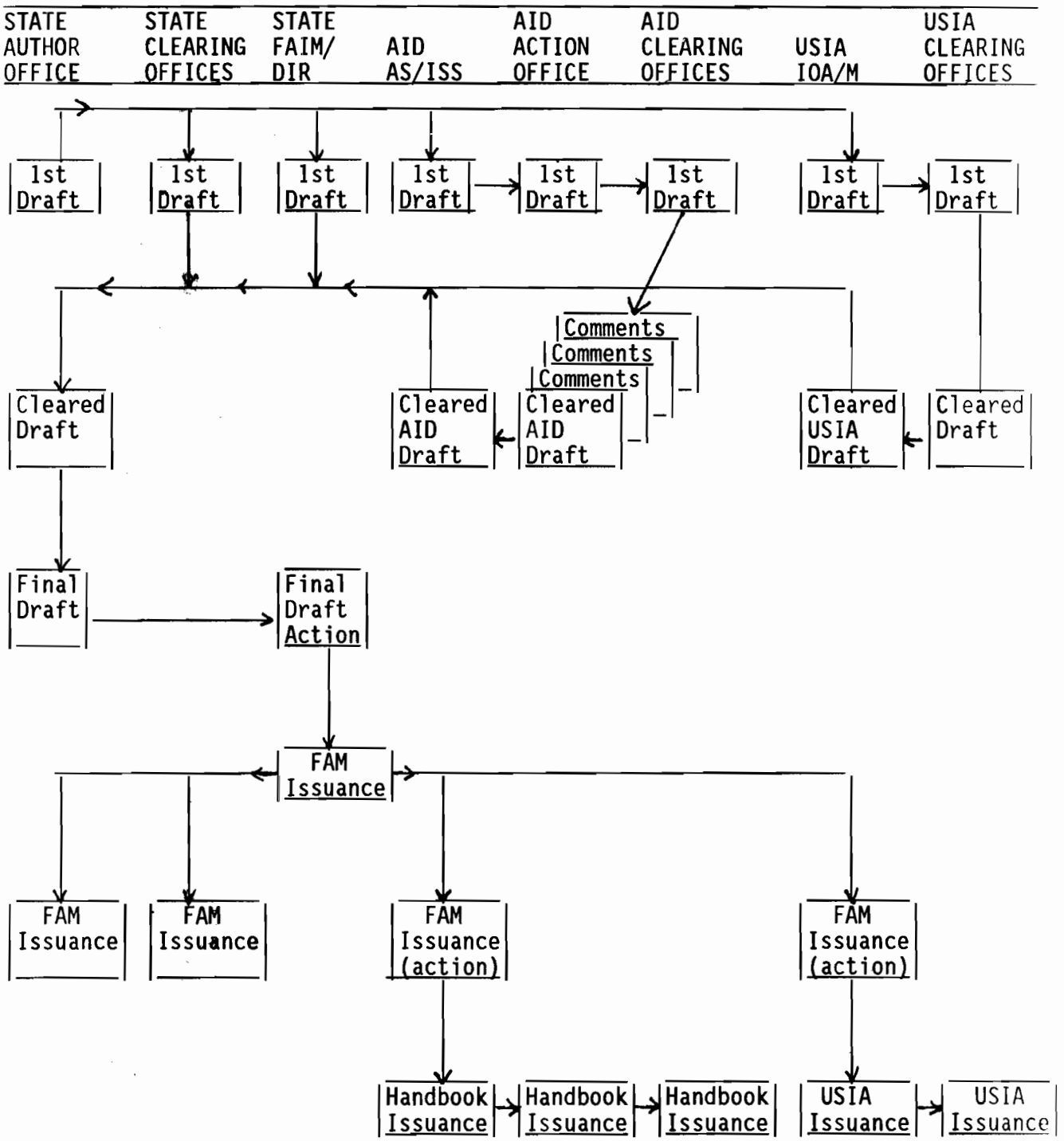
Addressed to AID Employees and supervisors. Issuances cover in-service training course offerings, qualifications required, application procedures, etc.

Travel Voucher Preparation Guidebook Issued by: Financial Management

Addressed primarily to AID employees. It is a guide specifically for Temporary Duty Travel; supplements Handbook 22, Travel and Transportation.

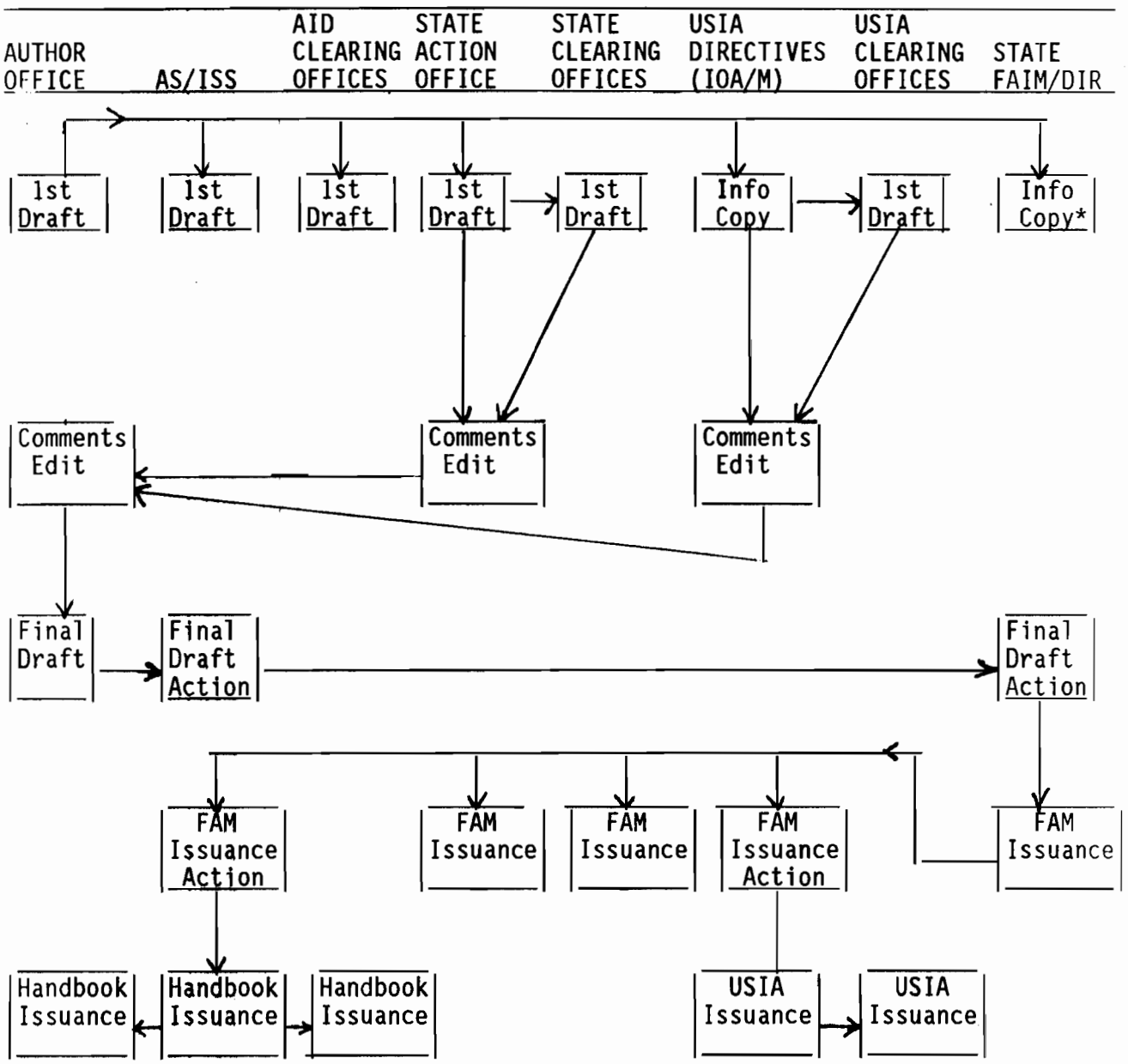
ATTACHMENT 6F

PROCEDURE WHEN A NEW OR REVISED
UNIFORM FOREIGN AFFAIRS REGULATION ORIGINATES
IN THE DEPARTMENT OF STATE



ATTACHMENT 6G

PROCEDURE WHEN A NEW OR REVISED
UNIFORM FOREIGN AFFAIRS REGULATION ORIGINATES
IN AID



*consultation on substantive changes

TRANSMITTAL MEMORANDUM CHECKSHEET

HANDBOOK 18 - INFORMATION SERVICES

PART I - DIRECTIVES AND PUBLICATIONS

18-I:1 _____	18-I:23 _____	18-I:45 _____
18-I:2 _____	18-I:24 _____	18-I:46 _____
18-I:3 _____	18-I:25 _____	18-I:47 _____
18-I:4 _____	18-I:26 _____	18-I:48 _____
18-I:5 _____	18-I:27 _____	18-I:49 _____
18-I:6 _____	18-I:28 _____	18-I:50 _____
18-I:7 _____	18-I:29 _____	18-I:51 _____
18-I:8 _____	18-I:30 _____	18-I:52 _____
18-I:9 _____	18-I:31 _____	18-I:53 _____
18-I:10 _____	18-I:32 _____	18-I:54 _____
18-I:11 _____	18-I:33 _____	18-I:55 _____
18-I:12 _____	18-I:34 _____	18-I:56 _____
18-I:13 _____	18-I:35 _____	18-I:57 _____
18-I:14 _____	18-I:36 _____	18-I:58 _____
18-I:15 _____	18-I:37 _____	18-I:59 _____
18-I:16 _____	18-I:38 _____	18-I:60 _____
18-I:17 _____	18-I:39 _____	18-I:62 _____
18-I:18 _____	18-I:40 _____	18-I:63 _____
18-I:19 _____	18-I:41 _____	18-I:64 _____
18-I:20 _____	18-I:42 _____	18-I:65 _____
18-I:21 _____	18-I:43 _____	18-I:66 _____
18-I:22 _____	18-I:44 _____	18-I:67 _____

Handbook 18
Information Services

Part II

Information to The Congress

ENCY for INTERNATIONAL DEVELOPMENT
DEPARTMENT of STATE
WASHINGTON, D.C. 20523

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE March 23, 1981	TRANS. MEMO NO. 18-II:6

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

Part II: Information to the Congress

The attached Part II has been revised to bring it up-to-date.

SUPERSEDES:

Part II of Handbook 18, Chapters 1 through 4 (TM 18-II:5)

FILING INSTRUCTIONS:

1. In Part II: Remove superseded material as listed under SUPERSEDES.
2. File the attached Part II in its place.
3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-II:6.

* * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 18-II:6 in the front of the Handbooks binder; discard TM 18-II:5.

* * * * * *

Address questions about Part II of this Handbook to LEG/CLS.

KEEP YOUR AID HANDBOOK UP-TO-DATE

HANDBOOK 18 - INFORMATION SERVICES

PART II - INFORMATION TO THE CONGRESS

DATE	MATERIAL TRANSMITTED	TM NO.
3-23-81	Complete Revision of Part II	18-II:6

P R E F A C E

This Part II of Handbook 18 - Information Services, is entitled "Information to the Congress" and describes the procedures established within AID that govern responses to inquiries from members of the Congress and their staffs, and from Congressional Committees.

Other sections of the complete Handbook 18 are:

Part I - Directives
Part III - Information to the Public
Part IV - Information Sources in AID
Part V - Automatic Data Processing Services
Appendix A - AID Forms Catalog
Appendix B - Listing of Recurring Reports
Appendix C - Deleted
Appendix D - Codes and Numbering Systems
Appendix E - Deleted

Address questions about Part II to LEG.

HANDBOOK 18 - INFORMATION SERVICES

PART II - INFORMATION TO THE CONGRESS

TABLE OF CONTENTS

	Page
Chapter 1 - Congressional Inquiries	
1A. Purpose	1-1
1B. Congressional Telephone Inquiries	1-1
1C. Conversations with Members of the Congress or Staff	1-2
1D. Written Materials Furnished the Congress	1-2
1E. Congressional Correspondence	1-2
Chapter 2 - Congressional Witnesses	
2A. Purpose	2-1
2B. AID Witnesses	2-1
Chapter 3 - Congressional Delegations	
3A. Purpose	3-1
3B. Mission Responsibilities	3-1 - 3-3
3C. Reporting Requirements	3-3
3D. *Funding of Congressional Delegations*	3-3, 3-4
Chapter 4 - Congressional Reports	
4A. Purpose	4-1
4B. Reporting Requirements	4-1
4C. Procedures for Regularly Recurring Reports	4-1
4D. Procedures for Reports Resulting from Presidential Determinations	4-1

PART II

INFORMATION TO THE CONGRESS

CHAPTER 1

CONGRESSIONAL INQUIRIES

1A. Purpose

This chapter describes the procedures established within AID that govern responses to inquiries from members of the Congress and their staffs and from Congressional Committees.

1B. Congressional Telephone Inquiries

1. The Office of Legislative Affairs (LEG) is responsible for responding to Congressional telephone inquiries.

2. When an action assignment has been made by LEG to another AID Office or Bureau, the responsible office should report back to LEG promptly of action taken. The report may be either oral or in writing.

3. The following procedures apply in those cases in which an AID Office or Bureau receives a telephone inquiry directly from a member of the Congress or his/her personal staff:

a. If appropriate during the conversation, LEG/CLS should be designated as the proper place to call for information pertaining to AID.

b. If not appropriate, the AID Office or Bureau reports such inquiries to LEG/CLS in the following manner:

(1) Telephone the Congressional Liaison Assistant in CLS immediately to report Congressional inquiries requiring the attention of senior AID staff.

(2) Submit to CLS a memorandum of each inquiry, on form AID 3-219, Congressional Telephone Request, obtainable from LEG/CLS. The memorandum includes the following information --

(a) Name of Congressional Office (Member or Committee)

(b) Name of Congressional Staffer making call

(c) Brief Description of Inquiry

(d) AID official who is taking action; or name of AID Official to whom inquiry is referred

(e) Report of reply and whether reply is oral or written. Keep the blue copy for your office record. Send the white and yellow copies to LEG/CLS.

1C. Conversations with Members of the Congress or Staff

In addition to telephone inquiries, all other conversations between AID officials and Members of the Congress or staff members concerning matters of interest to AID are reported by memorandum to the Office of the Assistant Administrator (AA/LEG).

1D. Written Materials Furnished the Congress

LEG transmits to the Congress the AID Congressional Presentation, periodic reports required by law, special reports requested by the Congress or offered by AID, as well as correspondence with members of the Congress Committees, and their staffs. When an office receives a direct Congressional request for publications, documents or other AID printed materials, address the envelope, enclose materials, but do not seal. Send the package to LEG for inspection and messenger delivery to the Hill.

1E. Congressional Correspondence

* All correspondence with Members of the Congress and/or Staff Members on AID matters is prepared either for the signature of the Administrator, Deputy Administrator, or the Assistant Administrator for Legislative Affairs (or other designated Office Head), with clearances in accordance with instructions presented in the section "Congressional Correspondence" in Handbook 21. *

* Revised

CHAPTER 2

CONGRESSIONAL WITNESSES

2A. Purpose

This chapter describes the procedures established within AID which govern appearances of AID witnesses before Congressional Committees.

2B. AID Witnesses

1. AID officials testify before Senate and House Committees:

a. At hearings on the foreign assistance authorization and appropriation bills;

b. At hearings on other legislation of interest to AID;

c. At hearings investigating specialized fields in which AID provides expert testimony.

LEG coordinates all appearances before Congressional Committees.

2. Committee requests for AID witnesses are usually directed to LEG. In those instances in which other AID Offices or Bureaus receive the Committee request, the Office or Bureau notifies LEG immediately. LEG coordinates the selection of witnesses, schedules all witness appearances, and as appropriate provides briefing support before and during testimony.

3. LEG also advises on the form and content of all witness statements and informs the witness of submission deadlines and clearance requirements. In all instances, copies of the witness statement must be submitted to LEG in time to permit delivery to the appropriate Committee not later than 48 hours before the scheduled hearing. The law requires delivery not later than 24 hours before.

4. AID staff members who appear before or attend executive (closed) hearing sessions of a Congressional Committee must maintain all information which is the subject of discussion or consideration on a confidential basis whether or not national security is involved until the record of the Congressional hearing is published and enters the public domain. Under no circumstances shall any AID staff members discuss, or act in such a way as to disclose inadvertently, any matter which has been the subject of consideration before such Congressional Committee hearings.

CHAPTER 3

CONGRESSIONAL DELEGATIONS

3A. Purpose

This chapter describes procedures established within AID which govern the visit of a Congressional Delegation (CODEL) or a Congressional Staff Delegation (STAFDEL) to an AID Mission, and Mission reporting requirements upon departure of the CODEL or STAFDEL.

3B. Mission Responsibilities

Upon notification of a CODEL, STAFDEL, or VIP visit, the following suggestions are made:

1. Designate a control officer and escort officers as appropriate.

2. Determine the objectives of the visit and develop a schedule based upon the objectives and specific desires of the visitor(s) (e.g., field trips involving spending the night away from the capital city or any major urban area, social activities desired, meetings with host government officials, activities for traveling wives, etc.).

3. In developing the schedule do not plan activities, either official or social, in such a way as to leave little or no time for physical, emotional, and intellectual rest. Every schedule should have some totally free time during which absolutely nothing is planned. Additional activities - such as shopping, sightseeing, briefings, or visiting a close local project - can always be added at the last minute if the visitor(s) so desires.

4. In developing the schedule, particularly if the visit is one of general oversight or familiarization, do not attempt through briefings or on-site visits to educate the visitor(s) as to every facet of the country program. Provide site inspections and briefings which are the most demonstrative. Written materials, which can be absorbed at the discretion of the visitor(s), can supplement and give the overall picture.

5. Information will be provided the visitor(s) by AID/W before departure. Notwithstanding this, the following materials should be available for each visitor upon his/her arrival:

   a. Schedule of events during stay.

   b. Names, addresses, and telephone numbers of major Mission and Embassy personnel, including a bio on the Ambassador and Mission Director.

   c. Emergency telephone numbers at the Embassy and/or Mission.

d. Up-to-date currency exchange rate.

e. Brief description of the country--political, economic, social, historical--including a country map.

f. Current AID country program.

g. Description of each project to be visited with names and titles of host country representatives who will be in attendance.

h. Complete Mission staffing pattern.

i. List of invitees with their titles for all social functions.

j. Suggested dress for various activities and mention of any social or cultural mores which should be observed.

k. Short list of restaurants, shops, and other points of interest the visitor(s) may wish to see on his/her own during his/her free time.

6. There should be one person, as escort officer, assigned to be with the visitor(s) during the entire stay. This individual should be knowledgeable of the overall country program and objectives and able to answer questions about the entire program. This individual should also have a good knowledge of the country itself and be able to speak the language.

7. There should be one person, either the escort officer or preferably a control officer, responsible for details of the entire visit. In addition to developing the schedule and making all necessary arrangements for its implementation, the control officer should make every effort to leave the visitor(s) free of travel details as possible. This would include, for example:

a. Not only meeting the plane but assisting with immigration, baggage claim and customs.

b. Personally checking all hotel rooms immediately prior to arrival.

c. Reconfirming departure travel arrangements and assisting with departure itself.

8. In visits of this type, CODEL, STAFDEL, and VIP, the Mission should try to make the visit worthwhile from a substantive point of view. It should provide assistance to the visitor(s) to keep their visit free from the many nuisances of travel. It should try to portray a realistic picture of life in the country for both the native populace and AID/Embassy employees there. Above all, the visitor(s) should be presented with as open and honest a picture of the host country and AID's program there as possible.

3B

9. Immediately upon departure of the CODEL, STAFDEL, or VIP, the Mission should report by telegram a summary of the visit, and by *memorandum* details of the visit.

3C. Reporting Requirements

1. The following points should be covered in the report:

a. Activities of the CODEL/STAFDEL during visit;

b. CODEL/STAFDEL comments on Mission operation;

c. Projects and problems in which greatest interest was shown;

d. Projects or aspects of the AID program which were particularly appreciated or were questioned or criticized;

e. CODEL/STAFDEL comments on domestic situation in the United States and U.S. relations with the region visited;

f. CODEL/STAFDEL comments on other countries visited;

g. Impact of visit on CODEL/STAFDEL and of CODEL's/STAFDEL's visit on the country;

h. Press coverage of CODEL/STAFDEL visit;

i. Copies of reports and briefing materials given CODEL/STAFDEL;

j. Suggestions of the Mission:

(1) On personal preferences of CODEL/STAFDEL which would be helpful to Missions.

(2) Points of interest and difficulties in travel to be considered by future CODEL's and STAFDEL's.

2. All correspondence, reports, and other materials which are addressed directly to CODEL/STAFDEL members should be sent to LEG for transmittal to Congressional offices.

** 3D. Funding of Congressional Delegations

1. Expenses for travel, per diem, and related expenses for Congressional Delegations traveling abroad on official business are funded under the provisions of Section 22 (22 U.S.C. 1754) of Public Law 95-384 (The International Security Assistance Act of 1978, signed into law September 26, 1978) governing the Use of Foreign Currency; and pertinent sections of other Federal Statutes.

2. USAID Missions will continue to host Congressional Delegations as instructed by AID/W. Control officers should, however, coordinate with the Department of State Embassy Budget and Fiscal Officers for the **

** New Material

3D2

payment of per diem and within country expenses for Congressional Delegations in accordance with instructions set forth in State 161805 to all U.S. Embassies dated June 23, 1979.

- -

** New Material

CHAPTER 4

CONGRESSIONAL REPORTS

* 4A. Purpose

This chapter describes procedures for preparing and submitting to the Congress reports required by the Foreign Assistance Act and related legislation. Special one-time reports requested by Members of the Congress and/or Congressional Committee Staff are assigned by ES and/or GC/LPIA, and transmitted through LEG.

4B. Reporting Requirements

The procedures outlined in this chapter apply to two categories of reports which AID prepares and submits to the Congress: regularly recurring reports and reports resulting from Presidential Determinations required by Section 654 of the Foreign Assistance Act. These reports are listed in Appendix B to this Handbook.

4C. Procedures for Regularly Recurring Reports

1. The Information Management Division (SER/DM/IM) is responsible for assigning the appropriate reports control symbol.

2. Preparing offices as identified in Appendix B are responsible for ensuring that all reports are prepared as required.

3. Preparing offices are responsible for obtaining the necessary clearances. All reports containing financial or budgeting projections or records must be cleared by the Office of Planning and Budgeting (PPC/PB) to ensure consistency with information previously supplied to the Congress.

4. LEG and GC are responsible for monitoring compliance with statutory and other reporting to the Congress.

4D. Procedures for Reports Resulting from Presidential Determinations

1. Preparing offices as identified in Appendix B are responsible for preparing reports to the Congress and for ensuring that Presidential Determinations are processed in accordance with instructions incorporated in the appropriate handbook.

2. LEG is responsible for transmitting the resulting report to the Congress.

3. GC is responsible for publishing the Presidential Determination in the Federal Register. *

* Revised

TRANSMITTAL MEMORANDUM CHECKSHEET

HANDBOOK 18 - INFORMATION SERVICES

PART II - INFORMATION TO THE CONGRESS

18-II:1 _____	18-II:26 _____
18-II:2 _____	18-II:27 _____
18-II:3 _____	18-II:28 _____
18-II:4 _____	18-II:29 _____
18-II:5 _____	18-II:30 _____
18-II:6 _____	18-II:31 _____
18-II:7 _____	18-II:32 _____
18-II:8 _____	18-II:33 _____
18-II:9 _____	18-II:34 _____
18-II:10 _____	18-II:35 _____
18-II:11 _____	18-II:36 _____
18-II:12 _____	18-II:37 _____
18-II:13 _____	18-II:38 _____
18-II:14 _____	18-II:39 _____
18-II:15 _____	18-II:40 _____
18-II:16 _____	18-II:41 _____
18-II:17 _____	18-II:42 _____
18-II:18 _____	18-II:43 _____
18-II:19 _____	18-II:44 _____
18-II:20 _____	18-II:45 _____
18-II:21 _____	18-II:46 _____
18-II:22 _____	18-II:47 _____
18-II:23 _____	18-II:48 _____
18-II:24 _____	18-II:49 _____
18-II:25 _____	18-II:50 _____

Handbook 18
Information Services

Part III

Information to the Public

AGENCY for INTERNATIONAL DEVELOPMENT
DEPARTMENT of STATE
WASHINGTON, D.C. 20523

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE March 24, 1994	TRANS. MEMO NO. 18-III:15

MATERIAL TRANSMITTED:

Handbook 18-III - Information Services

New Chapter 14: Chapter 4, Reports Management, has been relocated from Part V of Handbook 18 to Part III of Handbook 18 and has become Chapter 14.

New Chapter 15: Chapter 5, Forms Management Services, has been completely rewritten and relocated from Part V of Handbook 18 to Part III of Handbook 18 as Chapter 15.

FILING INSTRUCTIONS:

1. REMOVE PAGES:

   4-1 thru 4D-13 Part V, HB 18
   5-1 thru Att 5A Part V, HB 18
   (TMs 18-V:23, 18-V:32)

   REPLACEMENT PAGES:

   14-1 thru 14D-15
   Part III, HB 18
   15-1 thru 15B-3
   Part III, HB 18

2. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-III:15.

3. KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back.

4. File this TM 18-III:15 in the front of the handbook binder; discard TM sheet 18-III:14.

= = = = = = = = = = = = = = = = = = =

Address questions about this Handbook to
M/AS/ISS/RM (202) 736-4740

For additional copies of this Transmittal contact M/AS/ISS (202) 736-4747

CHECKLIST FOR HANDBOOK 18, PART III
INFORMATION TO THE PUBLIC

AUTHOR OFFICE: LPA/PI

DATE	MATERIAL TRANSMITTED	TM NO.
6-13-75	Complete Part III	18:3
9-27-75	Chapter 12	18-III:1
11-30-76	Pages 10-3, 10-4, and 10-9 thru 10-11 of Chapter 10 and Chapter 11	18-III:4
9-20-77	Appendix 12C	18-III:6
2-16-73	Preface	18-III:7
1-1-83	Chapters 1 through 9 and pages TC-1 and TC-2 of the Table of Contents	18-III:9
6-14-83	Pages 9-3 and 9-4 of Chapter 9	18-III:10
1-17-83	Attachment A to Chapter 13	18-III:12
12-20-84	Attachment B to Chapter 13	18-III:13
8-17-87	Pages 13-1 thru 13-8 of Chapter 13	18-III:14
3-24-94	Chapters 14 and 15 in entirety	18-III:15

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE August 17, 1987	TRANS. MEMO NO. 18-III:14

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

Part III: Chapter 13, Communications Review Board

Chapter 13 has been revised to include the new policies and procedures for the Communication Review Board.

SUPERSEDES:

Pages 13-1 thru 13-6 (TMs 18-III:12 & 18-III:13) of Chapter 13, Part III in Handbook 18.

FILING INSTRUCTIONS:

1. Remove superseded material as indicated under SUPERSEDES.

2. File the attached in its appropriate place.

3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-III:14.

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 18-III:14 in the front of the Handbook binder; discard TM sheet 18-III:13.

* * * * * * *

Address questions about this Handbook to M/SER/IRM/PE.

KEEP YOUR AID HANDBOOK UP-TO-DATE

CHECKLIST FOR HANDBOOK 18, PART III
INFORMATION TO THE PUBLIC

AUTHOR OFFICE: OPA

DATE	MATERIAL TRANSMITTED	TM NO.
6-13-75	Complete Part III	18:3
9-27-75	Chapter 12	18-III:1
11-30-76	Pages 10-3, 10-4, and 10-9 thru 10-11 of Chapter 10 and Chapter 11	18-III:4
9-20-77	Appendix 12C	18-III:6
2-16-73	Preface	18-III:7
1-1-83	Chapters 1 through 9 and pages TC-1 and TC-2 of the Table of Contents	18-III:9
6-14-83	Pages 9-3 and 9-4 of Chapter 9	18-III:10
1-17-83	Attachment A to Chapter 13	18-III:12
12-20-84	Attachment B to Chapter 13	18-III:13
8-17-87	Pages 13-1 thru 13-8 of Chapter 13	18-III:14

HANDBOOK 18 - INFORMATION SERVICES

PART III - INFORMATION TO THE PUBLIC

TABLE OF CONTENTS

	Page
* Chapter 1 - Basic Policy	1-1
Chapter 2 - Responsibilities of the Office of Public Affairs	2-1
Chapter 3 - Inquiries from the Public	3-1
Chapter 4 - Inquiries from News Media	4-1
Chapter 5 - News Releases	5-1
Chapter 6 - News and Audi-Visual Services	6-1
Chapter 7 - Submission of Material by Overseas Missions	7-1
Attachment A - AID 8-2 (10-64), Data for Home Town News Stories	
Chapter 8 - Official Photographs	8-1
8A. Overseas	8-1
1. General	8-1
2. Types of Photographs Needed by AID/W	8-1, 8-2
3. Procedure	8-2, 8-3
8B. AID/W	8-3
1. AID/W Photographic Collections and Needs	8-3
2. Photographic Services	8-4
Chapter 9 - Speeches, Written Articles, and Participation at Meetings of Governmental and Nongovernmental Organizations	9-1
9A. Policy	9-1
9B. Public Speaking Engagements	9-1, 9-2
9C. Speaker's Kit	9-2
9D. Official Writing for External Publications	9-2, 9-3
9E. Speaking and Writing Not Connected with Official Duties	9-3, 9-4 *
Chapter 10. Public Access to AID Records	10-1
10A. Purpose	10-1
10B. Policy	10-1
10C. The Freedom of Information Act	10-1, 10-2
10D. Responsibilities	10-2
1. The Administrator	10-2
2. Executive Secretary	10-2

* Revised

Chapter 10 - Public Access to AID Records - (continued) Page

10D. Responsibilities (cont'd)
3. Director, Office of Public Affairs 10-2
4. Freedom of Information Staff Officer 10-2, 10-3
5. General Counsel 10-3
6. Freedom of Information Liaison Officer 10-3, 10-4
7. Directives and Publications Coordination Staff 10-4
8. Freedom of Information Officer, AID Missions 10-5
9. AID Mail Room 10-5
10E. Processing Requests for Records, AID/Washington 10-5 - 10-8
10F. Other Requests for Records 10-8
10G. Processing Requests for Records -- AID Missions 10-8, 10-9
10H. Exemptions 10-9
10I. Classified Records 10-9, 10-10
10J. Segregable Portions 10-10
10K. Other-Agency Documents 10-10
10L. Appeals 10-11

Chapter 11 - Mandatory Classification Review 11-1

11A. OPA Responsibilities 11-1
11B. Application of the FOI Act 11-1
Attachment A - Uniform State/AID/USIA Regulations (3 FAM 628)
Attachment B - AID Regulation 12 - Public Information
Attachment C - Form AID 810-2 (3-75), Freedom of Information Action Control Record

Chapter 12 - Access to and Protection of Records on Individuals, Privacy Act - 1974

12A. Purpose 12-1
12B. The Privacy Act of 1974 (P.L. 93-579) 12-1
1. General 12-1
2. Provisions of the Act 12-1, 12-2
12C. Policy 12-2
12D. Definitions 12-2 - 12-4
12E. Responsibilities 12-4
1. Employees of AID 12-4
2. The Administrator 12-4
3. General Counsel 12-4
4. Privacy Officer 12-5
5. Privacy Act Implementation Officer 12-5, 12-6
6. Privacy Liaison Officer (Washington) 12-6
7. Privacy Coordination Officers 12-6, 12-7
8. Privacy Liaison Officers (Missions) 12-7
9. Manpower Development Division (SER/PM/MD) 12-7
10. Contract Officers 12-7
11. Systems Analysts and Management Analysts 12-8
12. System Managers 12-8
13. File Custodians 12-8
14. Records Management Office (SER/MO) 12-8

Page

Chapter 12 - Access to and Protection of Records on Individuals, Privacy Act - 1974 (continued)

12F.	Rules of Conduct	12-8
	1. General	12-8
	2. Privacy Act of 1974	12-9, 12-10
12G.	Penalties, Civil Remedies, and Sanctions	12-10, 12-11
12H.	Public Rules and Notices of Systems of Records	12-11
12I.	Exempted AID Systems of Records	12-12, 12-13
12J.	Disclosure of Personal Information	12-14
	1. Disclosure without Consent	12-14 - 12-16
	2. Obtaining Permission of the Individual to Disclose His or Her Records	12-17
	3. Validating Records Prior to Disclosure	12-17
	4. Maintaining Record of Disclosure	12-17 - 12-19
	5. Utilization of the Record of Disclosure	12-19
	6. Assistance in Making Decisions Relevant to Disclosure of Records	12-19
12K.	Normal Administrative Services to Employees	12-20
	1. Accommodating Routine Requests	12-20
	2. Identification Requirement	12-20
	3. Requests for Information From Outside AID	12-21
12L.	Operating Procedures for Notification, Access, Amendment, Review, and Filing Statement of Disagreement	12-21
	1. Notification of the Existence of a Record	12-21 - 12-24
	2. Access to Records	12-24 - 12-28
	3. Amendment of Record	12-29 - 12-33
	4. Appeal for Review of AID's Refusal to Amend or Delete a Record	12-33 - 12-35
	5. Filing a Statement of Disagreement	12-35, 12-36
12M.	Physical, Procedural, and Technical Safeguards	12-36
	1. Physical Storage	12-37
	2. Transmission	12-37
	3. Technical Processing Safeguards	12-37, 12-38
12N.	Training	12-38
12/O.	Clearance of New Systems of Records with the Congress and OMB	12-38, 12-39
12P.	Design of Forms to Comply with Requirements of the Act	12-39 - 12-41
12Q.	Annual Review of Procedures and Submission of the Annual Report, Report Symbol W-490/2	12-41, 12-42
12R.	Mailing Lists	12-43
APPENDIXES:		
App 12A -	The Privacy Act of 1974	1 - 15
App 12B -	AID Regulation 15 - Regulations for Implementation of Privacy Act of 1974	1 - 6
App 12C -	Notices of Systems of Records	1 - 18
App 12D -	Format (Reserved)	
App 12E -	Forms (Reserved)	

Page

Chapter 12 - Access to and Protection of Records on Individuals, Privacy Act - 1974 (continued)

ATTACHMENTS:
12A - 3 FAM 628, Speaking, Writing, and Teaching 1 - 6
12B - AID Regulation 12 - Public Information 1 - 6
12C - AID Form 810-2, Freedom of Information Action Control Record 1

* Chapter 13 - Policies and Procedures - Communications Review Board

13A. Purpose and Scope 13-1
13B. Exemptions to CRB Review 13-2
13C. Procedures - CRB Pre-and Post Production Review 13-3
13D. CRB Organization 13-4
13E. Definitions 13-4

Attachment A - Request for Approval: Communications Product (draft) *

* Revised

P R E F A C E

This Part III of Handbook 18 - Information Services, is entitled "Information to the Public" and provides guidance on basic policy, clearance of public information materials, inquiries from news media and press releases, stories for domestic publication and material from Missions, photographs, speeches and articles, requests for AID records (Freedom of Information), and review of security classification.

Other sections of the complete Handbook 18 are:

Part I - Directives and Publications
Part II - Information to the Congress
Part IV - Information Sources in AID
Part V - Automatic Data Processing Services
Appendix A - AID Forms Catalog
Appendix B - Listing of Recurring Reports
Appendix C - Deleted
Appendix D - Codes and Numbering Systems
Appendix E - Deleted

Address questions about Part III to OPA.

CHAPTER 1

BASIC POLICY

1A. It is the policy of the Agency for International Development that information about its objectives and operations be freely available to the public. The Agency must be responsive to requests for information from all sectors of the American people. Public understanding of development assistance programs is dependent upon the availablity of this information and prompt and reliable response to inquiries.

1B. The Office of Public Affairs (OPA) is the focal point for the preparation and release of public information. There must be a continuing, comprehensive, Agency-wide concern for producing and disseminating timely and accurate information. OPA can stimulate, program and coordinate these efforts, but must rely on the active participation of all major offices and officers in AID in responding to the need for an accurately informed public. Beyond this, there are certain procedures to be followed by all AID Bureaus and offices to assure coordination and effectiveness in the production and release of public information. This handbook sets forth procedures to be followed in handling public information materials.

CHAPTER 2

RESPONSIBILITIES OF THE OFFICE OF PUBLIC AFFAIRS

The range of services rendered by OPA is reflected in its component organization units. OPA is responsible for developing public information policies, preparing informational materials, disseminating information about the foreign assistance program to the U.S. public and preparing certain informational materials for both internal and external agency distribution.

The Office includes the Office of the Director (OPA/D), the News & Media Relations Division (OPA/NMR), the Public Inquiries Division (OPA/PI), and the Publications Division (OPA/P). For details see Handbook 17, Chapter 13.

Each Bureau and/or Office must designate a Public Affairs contact person. This individual should be either deputy or special assistant to the Assistant Administrator or someone knowledgeable in all activities of the Bureau and/or Office. This person should not also act as the Freedom of Information/Privacy Act liaison.

CHAPTER 3

INQUIRIES FROM THE PUBLIC

3A. Correspondence

Public Inquiries processes correspondence from the general public pertaining to foreign aid, as well as letters requesting printed matter, either general or identified by title. Many of these letters will involve Public Inquiries contacting another Bureau/Office to obtain information necessary to draft a response to the inquiry. Bureaus/Offices should attempt to respond within two working days to such requests.

3B. Telephone Inquiries

Public Inquiries also handles all telephone calls requesting general information on foreign aid that can be handled within the resources of the Office of Public Affairs. Occasionally, Public Inquiries may need assistance from another Bureau/Office to respond to the telephone request. Once again, we request a response to our call within two working days. If it is determined that the person seeking information should have direct contact with a source within the Agency, the individual in question should respond to the outside caller within one working day. (The telephone number for this service is 632-1850).

CHAPTER 4

INQUIRIES FROM NEWS MEDIA

This Agency desires positive news coverage. We must respond quickly to an inquiry from the media and also take the initiative to stimulate coverage among the many news media outlets.

The primary spokespersons for the Agency are the Administrator, Deputy Administrator and Assistant Administrators, including the General Counsel and the Director of Public Affairs. No one else is authorized as a spokesperson for the Agency unless one of the above has delegated that responsibility. It is not in this Agency's interest to receive press coverage containing references to "sources in AID today said..."

OPA is the only office in AID/W which can handle inquiries from the press. If a reporter calls your office first, you should determine name, affiliation, telephone number, deadline and tell him or her that "Our agency will be back to you shortly." Immediately contact the OPA/NMR division chief. If the reporter conveys in this brief exchange the nature of his or her questions, please convey this information along with the other items.

This procedures will ensure proper Agency-wide coordination. There may be other Agency issues involved that your office might not realize.

This procedure does not mean only OPA talks to the press. Many times OPA, in handling a reporter's request, will decide to arrange an interview with an AID staffer in a particular bureau/office. Simply stated, OPA is the "action" office and will determine if another bureau/office should be involved.

When contacted by Public Affairs regarding an inquiry from a reporter, your office should make every effort to provide fast, accurate and timely information. Give all known information indcating which facts can be released and which facts are for OPA background only.

<u>No office other than Public Affairs is authorized to initiate contact with the media</u>.

CHAPTER 5

NEWS RELEASES

5A. News Release

News releases may not be distributed by a Washington office of our Agency other than the Office of Public Affairs. Overseas missions can draft and issue news releases only with OPA approval.

When your Office has material that you consider important enough to announce in a news release, contact the OPA/NMR division chief. You may know of a forthcoming event or you may have an idea that you think should be explored. Please call OPA right away. Public Affairs will evaluate your material or idea and decide whether a prepared news release should be drafted for your review or if pertinent facts should be put together, reviewed by you and in turn then made available to the appropriate members of the mass media. (Be mindful that it is also impossible for you to give too much advance notice to OPA regarding the material or idea that you have.)

Public Affairs will in some instances originate a news release which involves your office. When contacted for information, respond in a timely manner. Please make sure that your facts are correct.

As a regular service, Public Affairs drafts and disseminates state-by-state news releases. These releases are kept on file for additional use by your Office when appropriate. The state-by-state releases generally convey the benefits of foreign aid in each state.

5B. Press Guidance

Any bureau/office of the Agency which desires to prepare press guidance on a particular issue must have this press guidance cleared by OPA before sending it to the Department of State, the White House or any federal agency. If a press inquiry does occur on this particular issue following the prepration and clearance of the respective press guidance, the press inquiry must be referred to OPA for handling.

CHAPTER 6

NEWS AND AUDIO-VISUAL SERVICES

6A. News Clipping Service

Public Affairs provides a daily news summary for the Administrator, Assistant Administrators and Office Directors. The summary reviews the following newspapers for foreign affairs material: New York Times, Washington Post, Baltimore Sun, Washington Times, Wall Street Journal, Chicago Tribune, New York Daily News, Christian Science Monitor, Journal of Commerce, Los Angeles Times, USA TODAY.

OPA encourages other offices within the Agency to send news clippings from other sources for inclusion in the next day's news summary.

6B. Electronic News Monitoring Service

1. Public Affairs can provide, when needed, a videotape and/or audio tape of all of the network and Washington area news programming that contained a story on foreign aid or a related item.

2. Public Affairs will notify your office if we believe there has been an item reported which would be of particular interest to you

3. When reports are carried in programming other than the announced schedule, offices can request a special search for the material. Once it is obtained it will be made available to the Office requesting the report. Reports from cities other than Washington can be secured also.

If your office is aware of programs that discuss foreign affairs, the Agency or development assistance please notify the division chief.

6C. "Feature-Length" Audio-visual Productions

1. When your Office is contemplating a film, slide presentation or videotape production, contact OPA. They will arrange meetings to discuss story line, potential return and distribution methods. Then, in your behalf, Public Affairs will submit this request through the Agency's Communications Review Board for its approval. Upon the latter's approval, Public Affairs will then work directly with your Office in the production of the material.

2. OPA does not fund "feature-length" audio-visual productions for other offices.

3. Public Affairs also offers resources in audio-visual media which might be used as a component or visual aid in an educational program you are conducting. Contact the division chief to see if we can provide any audio-visual aids or consultation which would prove beneficial to your project.

CHAPTER 7

SUBMISSION OF MATERIAL BY OVERSEAS MISSIONS

7A. There is continuing demand for "success" and human interest stories about AID people and programs for dissemination in the U.S. Each Mission should be on the alert to identify and write up feature stories concerning events and accomplishments of more than passing interest. Story material and pictures are to be addressed to the Office of Public Affairs, AID/W.

7B. Emphasis should be put on increasing the number and quality of stories for home town publicity which tell the story of what our technicians are doing overseas. Attached is a sample form AID 8-2, Data for Home Town News Stories, copies of which will be supplied to Missions by AID/W. This form is to be completed and sent to AID/W when an American technician is returning to the U.S. on home leave. Wherever possible, human interest should be added to the stories by giving "quotes" from such people, either about their jobs or about some of their personal experience in the Mission. The back of the form should be used for continuation of any item.

7C. Although the emphasis is on human interest stories, OPA is anxious to receive feature material of any type which will help explain our operations to the American public. All stories need not be built around American technicians.

7D. In connection with this assignment, Missions are reminded of the basic agreement between AID and the U.S. Information Agency (USIA). This agreement provides:

> "Reporting to the U.S. public on all AID activities is the responsibility of the Agency for International Development. Where possible, USIA posts Overseas will service the Washington office of AID Public Affairs Staff on a regular, routine basis with USIA copies of English language releases (or translations of foreign texts, when available) pictures, and other media

7D

> items useful for informing the American people of AID activities overseas. Requests of the Washington office of AID for such service on specific development will be addressed to the Mission Director who may then request assistance of the Public Affairs Officer." (USIA overseas)

While this agreement provides for assistance from the USIA Public Affairs Officer, the workload may make it impossible for USIA to provide a sufficient amount of material for stateside use. In this event, the PAO could give professional guidance to Mission personnel. Each Mission should see that the PAO adds AID/W, Office of Public Affairs, to its regular mailing list.

DATA FOR HOME TOWN NEWS STORIES

INSTRUCTIONS
1. Please type.
2. Forward original to OPA/Washington, copy retained at Mission.
3. See HB 18, Part III, Chapter 7.

PRIVACY ACT STATEMENT

The following statement is required to appear on the subject form by the Privacy Act of 1974 (Public Law 93-579; 88 Statute 1896).

The information called for on this form is being requested with a view to making it available to home town newspapers and other news media. Providing the information is entirely voluntary. Failure to do so will have no adverse effect on your employment with the Agency.

The Foreign Assistance Act of 1961, as amended, constitutes authority for requesting the information. Disclosure of information provided will not be made outside the Agency without the written consent of the employee concerned except (a) pursuant to any applicable routine use listed under AID's Public Information Records System, AID-21 in AID's Notice of Systems of Records for implementing the Privacy Act as published in the Federal Register, or (b) when disclosure without the employee's consent is authorized by the Privacy Act and provided for in AID Regulation 15. (A copy of the Regulation and Notice of Systems of Records is available from AID Distribution on request.)

1. Employee's Name	2. Mission	3. Position Title

4. FAMILY AT MISSION		5. Date Arrived at Mission	6. Departure Date
	a. Spouse *(if wife, enter maiden name)*		
	b. Children *(include ages)*	7. ANTICIPATED DATES OF ARRIVAL	
		a. Home Town	b. Washington, D.C.

EMPLOYEE		SPOUSE	
	8. Home Town and Street Address		9. Home Town and Street Address
	10. Home Town Newspapers		11. Home Town Newspapers
	12. Metropolitan City Nearest To Home Town		13. Metropolitan City Nearest To Home Town
	14. Parents *(name and address)*		15. Parents *(name and address)*

16. Education *(give schools, dates attended, and degrees received)*

17. Organizations and Community Affairs *(present memberships, dates, offices held)*

18. Military Service *(branch of service, dates served, rank or rating, decorations)*

19. Principal Work Prior to Present Assignment *(give title of position, dates of service cities and countries where employed)*

20. If there is no accompanying story, give resume of your work at USAID—Give accomplishments, problems solved, human interest incidents, emphasizing details that would be of interest to the press in your home town.

21. Future plans

CHAPTER 8

OFFICIAL PHOTGRAPHS

8A. Overseas

1. General

It is desirable and necessary that there be a uniform and continous flow of photographs to the Office of Public Affairs, AID/W, for use as immediate news releases and for collection in the photographic file where they are used for illustrating reports and exhibits, and to fill various requests by publishers, newspapers, educators and Government agencies. In order to permit maximum usage of these photographs they should, unless specified for other uses, be free of any restrictions on usage by OPA.

Missions having arrangements with USIS to cover photographic needs should arrange that either USIS or the Mission furnish prints of appropriate pictures to OPA, as well as to the United States Information Agency, Washington.

2. Types of Photographs Needed by AID/W

a. Photographs for Immediate News Release

These are pictures (usually accompanied by suggested press releases) which Missions intend for distribution by AID/W to the United States press. They may or may not have general interest for permanent filing. Usually they are of two kinds:

(1) Pictures of timely news value--their main value being that they are topical, requiring fast mailing to AID/W and prompt release there.

(2) Pictures of localized news value--as "hometown paper releases" about American technicians, or pictures of principal interest to a trade or professional journal, their main value being to a particular locality or publication.

8A2

b. Photographs of Continuing or General Interest

These are pictures for the Photographic File in AID/W and may include some "news pictures." Types of photographs needed for this permanent collection include:

(1) Pictures of AID programs and technicians in action.

(2) Pictures of conditions and people with which AID is dealing.

(3) Pictures of progress and results of programs.

3. Procedure

a. Photographs for News Releases

These are to be sent to the Office of Public Affairs, AID/W. One or more prints are submitted with suggested news release. Keep in mind that copying photographs in AID/W involves delay and loss of photographic quality. Send enough prints for the purpose, each picture numbered with the Mission permanent file number (for future identification), and captioned.

b. Photographs for AID/W Permanent Collection

(1) Regularly screen the pictures of good quality which illustrate some aspect of the program in action, or which show graphically the conditions and the people with whom we working, or which have cultural, historical, or human interest value.

(2) Send five good quality 8 x 10 glossy prints of the selected photographs.

(3) Attach a full caption to each print. Caption should contain all essential descriptive and identifying information, including month and year. Make certain personal and place names are correctly spelled. Always give home town address where possible if Mission personnel are included in the picture. Be sure to include the Mission's permanent filing number by which additional prints may be reordered by AID/W.

(a) Caption should be on a separate piece of paper, attached by overlapping about 3/4" of the top part of the caption to bottomback of photograph, and folding

8A3b(3)(a)

forward. Caption should preferably be attached with rubber cement, so that it may be stripped off. If cement is not available, plastic tape is satisfactory. Care must be taken not to buckle print.

(b) In the case of a series of photographs on the same subject, or a picture story, the "master caption" technique may be used. There are two ways to do this. The master caption may be attached to one print, and all the other prints given brief captions, making reference to the master-captioned print. Or, the master captions and all individual brief captions may be reproduced on the same sheet, which will be attached to all prints in the series, each identified by its individual number.

(4) Once a month or more often, Missions send the selected photographs in packages, carefully wrapped with cardboard stiffeners, to:

Office of Public Affairs
AID/Washington

(5) Missions not having facilities for making good enlargements send negatives to AID/W, addressed as above. Captions should be included with the negatives.

8B. AID/W

1. AID/W Photographic Collections and Needs

AID/W offices are requested to cooperate with OPA as follows:

a. Inform OPA of present collections that might contain useful photographs.

b. Send photographs and/or negatives to OPA for permanent filing.

c. Request prints as needed from OPA.

d. When photographs are needed from Missions, consult OPA to avoid duplicate orders and to afford an opportunity for combining OPA needs with those of the requesting office.

8B

2. Photographic Services

a. AID/W cannot provide photographic services to Missions except in the following cases:

(1) Missions requesting a selection of pictures from other countries on designated subjects for use in a publication or exhibit, etc..may obtain them from AID/W photographic files.

(2) Missions having no photographic facilities may send negatives to AID/W accompanied by purchase orders for whatever services are required, and AID/W will service them from commercial sources.

(3) Missions may request from AID/W such special photographs as pictures of AID officials, pictures of participants in USA, etc., which will be furnished as available.

b. The Public Affairs staff includes several people capable of taking photographs of certain Agency ceremonies and other events on a limited basis.

c. Public Affairs has a large photographic file of both black/white prints and 35 mm color transparencies, Bureaus and Offices may use these files as a resource. Details on the extent of usage and cost considerations may be obtained from the Publications chief.

CHAPTER 9

SPEECHES, WRITTEN ARTICLES, AND PARTICIPATION AT MEETINGS OF GOVERNMENTAL AND NONGOVERNMENTAL ORGANIZATIONS

9A. Policy

AID Staff members are encouraged to speak when requested about the AID program to intereted, responsible public and private groups, and to write articles for general and trade publications and periodicals.

9B. Public Speaking Engagements

When your Office receives an invitation for an appearance by the Administrator, or any senior AID official, that request should be forwarded immediately to the OPA/NMR division chief. If the document is controlled by the Executive Secretariat, it should be returned to them.

All public speaking engagements - regardless of staff level - must be cleared by Public Affairs. This does not apply to overseas missions. Refer to Joint Regulations, Handbook 18, Part 3, Att A, Section 628.6 regarding invitations to teach and lecture.

All written speeches made by AID employees in a public forum, must be cleared through the Public Affairs Office. The documents submitted for clearance should be final drafts, with no uncleared changes thereafter.

If desired, the Office of Public Affairs will explore with you the possibility of having your speaking engagement covered by members of the mass media. In addition, the Office of Public Affairs will arrange interviews with local media while you are in that particular community.

9B

When a schedule conflict prohibits your speaking engagement (yet our involvement with the particular organization may be valuable) the Office of Public Affairs can explore the possibility of videotaping your remarks in our office. That videotape can then become a component of the conference agenda.

The Office of Public Affairs can provide training to Agency personnel in public speaking presentations. Using our studio, we will discuss your presentation and provide advice on how to improve your communication skills.

Public Affairs offers consultation as to how audio-visual aids, i.e., videotapes, audio recordings, and film and/other visual aids, might make your presentation more effective.

Public Affairs does not write speeches for anyone except the Administrator. However, we will review your speeches and offer our counsel prior to your submitting your final draft to Public Affairs for approval.

9C. Speaker's Kit

A Speaker's Kit for the Agency is maintained by Public Affairs. The Kit encompasses philosophy and purpose of AID, public speaking suggestions, publicity arrangements, Bureau overviews, budget information, affect of foreign aid on U.S. economy, policy background, issue papers, etc. A public speaker can pull from this comprehensive source relevant material for a specific engagement.

9D. Official Writing for External Publication

1. Any Agency employee desiring outside publication of his or her manuscript or technical document of official Agency concern must obtain clearance from the Office of Public Affairs.

The Director, OPA, shall conduct the final review and either approve or disapprove the material for publication within 30 calendar days after receipt thereof, except in extraordinary circumstances. If extraordinary circumstances prevent the Director from reviewing and approving or disapproving the material within 30 days after receipt, he shall notify the submitter of the material in writing to that effect. Such notice shall set forth the reasons why the material could not be acted upon

9D1

within 30 days and shall establish an estimated time, not to exceed 15 calendar dayas, by which the material will be acted upon. If, for good cause shown, the material cannot be acted upon within the new estimated time limit, the Director, OPA, shall again notify the submitter of the material in writing to that effect. The written notice requirement as set forth above shall continue until the Director approves or disapproves the artice for publication. In the case of short manuscripts concerning matters of particular timeliness, where the submitter of the material requests an expedited review within a reasonable time period less than 30 days and gives specific reasons warranting such expedited review, the Director, OPA, shall review and either approve or disapprove the material for publication within the time requested by the submitter or as soon thereafter as possible.

2. All papers, articles, etc. relating to the work of the Agency which have been written by AID personnel for publication in the United States are to be reviewed by the appropriate Bureaus and/or Offices and by OPA before submission to literary agents or publishers. All such material for publication in a host country is to be reviewed by the Mission Director or his designee.

3. Compensation or fees may not be accepted by AID personnel for material written in the line of official duty. Such compensation is prohibited by statute (18 U.S.C. 209)

9E. <u>Speaking and Writing Not Connected With Official Duties</u>

1. General guidelines for activities not conducted in the line of official duty are contained in Handbook 24, Chapter 3. Note particularly the provisions relating to outside employment.

2. Employees may not undertake speech or writing activities in violation of the legal provisions pertaining to activities relating to U.S. Politics (see HB 24, Att 3A).

9E

3. Books, articles, and other manuscripts of official concern prepared for publication by an employee in an unofficial capacity are submitted for clearance in advance of publication in accordance with the procedures *and time frame established in 9D*. Authors are notified of decisions with respect to clearance of manuscripts, and the manuscripts are either returned or forwarded, upon written request, to publishers or agents designated by the author.

4. Writings which are not on matters of official concern need not be submitted for clearance; however, unless the unofficial writing is clearly not on a subject of official concern, the employee is responsible for having published with it a specific statement to the effect that the opinions and views expressed are his own and not necessarily those of AID. If there is doubt as to the propriety of the proposed publication, the employee should seek guidance or advice from the Director, OPA.

5. To avoid possible embarrassement, employees do not make commitments to publishers until manuscripts have been approved. Members of employee's families should also follow these procedures.

CHAPTER 10

PUBLIC ACCESS TO AID RECORDS

10A. Purpose

This chapter sets forth rules and procedures which govern the processing of requests from the public for records of the Agency for International Development (AID). It supplements AID Regulation 12, Public Information, (see Attachment B, Part III).

10B. Policy

It is the policy of the Agency for International Development that information about its objectives and operations be freely available to the public. These rules and procedures reflect that policy, and are based on the spirit as well as the letter of the Freedom of Information Act.

10C. The Freedom of Information Act

1. The Freedom of Information Act (FOIA) provides for the right of members of the public to have access to records of the Federal Government, and to obtain judicial review of any agency decision to deny access. The statute makes mandatory the application of the following principles in responding to public requests for records of an agency:

a. Disclosure is the general rule, not the exception.

b. All individuals have equal rights of access, whatever the purpose of their inquiry.

c. The burden is on the Government to justify the withholding of a record, not on the public to justify its request or its right to access.

2. The FOIA further requires that "each Agency, upon request for records which (a) reasonably describes such records and (b) is made in accordance with published rules" must respond within 10 working days from receipt of the request, with 10 additional days allowable in "unusual circumstances."

3. The requester may appeal an adverse decision to a designated appeal authority in the agency, who has up to 20 working days to determine whether the material may be released. If the appeal authority denies the appeal in whole or in part or fails to act within the prescribed time, the requester may then take the matter to court.

10C

4. The FOIA provides for disciplinary action when an employee's conduct in wrongly withholding documents can be proved to have been arbitrary or capricious. For disciplinary action to be initiated, several steps must take place. First, a requester must sue the agency. Second, the court must find that records were improperly withheld, that the requester's litigation costs should be paid by the agency, and that there is evidence that "agency personnel acted arbitrarily or capriciously" in withholding the requested records. The Civil Service Commission then investigates to determine whether disciplinary action is warranted against "the officer or employee who was primarily responsible for the withholding."

10D. Responsibilities

1. The Administrator

The Administrator or the Deputy Administrator, AID, receives and acts on appeals from members of the public whose requests for AID records have been denied, in whole or in part.

2. Executive Secretary

The Executive Secretary (ES) processes appeals for the Administrator or Deputy Administrator, receiving recommendations from appropriate offices and establishing deadlines for such recommendations to ensure timely action on the appeals.

3. Director, Office of Public Affairs

The Director, Office of Public Affairs (OPA), serves concurrently as AID's Freedom of Information Officer. He is responsible for all administrative actions, policy decisions, and operations required for effective implementation of the FOIA in AID/Washington as well as AID Missions. Only the Director, OPA, or his delegate, may deny any request for records, and his decision is appealable only to the Administrator or the Deputy Administrator.

4. Freedom of Information Staff Officer

The Freedom of Information Staff Officer of the Office of Public Affairs is the principal operations officer within AID for the processing of requests made in accordance with Section 212.33 of AID Regulation 12 (hereafter identified as FOI requests), as well as other requests if it is intended by the action office to deny access or to assess authorized charges for services to be performed in filling such other requests. This Officer is responsible for:

a. Receiving and recording all FOI requests;

b. Establishing timetables for retrieval, review, and response;

c. Assigning action to the designated FOI Liaison Officers of appropriate Bureaus and Offices of AID, and monitoring action to ensure compliance with time requirements and other provisions of the FOIA;

d. Preparing and dispatching correspondence to the requester, except in cases where the FOI Liaison Officer has been authorized to deal directly with the requester;

e. Determining charges, notifying the requester of fees due, and collecting and transmitting all payments to the AID cashier;

f. Preparing and transmitting an annual report to the Congress in accordance with the FOIA;

g. Maintaining a reading room facility where the public may have access to indexes of AID records, and examining records made available in response to their requests;

h. Keeping files on FOI requests.

5. General Counsel

a. The General Counsel (GC) has responsibility for advising the Administrator and Deputy Administrator on all FOI matters. In addition to such other duties as the Administrator may assign him/her, he/she will make a written recommendation on all FOI appeals submitted to this Agency.

b. The Assistant General Counsel, Management and Administration (GC/M&A), has responsibility for legal advice on all AID matters regarding or resulting from the FOIA. GC/M&A will advise the Director, OPA, on all denial decisions, and apprise the FOI Staff Officer of all significant developments with respect to the FOIA.

c. Each other Assistant General Counsel designated to provide legal advice to the Bureaus and Offices of AID will provide legal advice on FOI requests to the FOI Liaison Officers in his/her designated Bureaus or Offices.

6. Freedom of Information Liaison Officer

The designated Freedom of Information Liaison Officer in each Bureau and Office of AID has the action responsibility for responding to FOI requests, and ensuring that the spirit as well as the letter of the FOIA is applied in the processing of all other requests for records received by the Bureau or Office he/she represents. He/she exercises his/her authority to decide on behalf of and has direct access to the Assistant Administrator or Director of his/her Bureau or Office. The FOI Liaison Officer is responsible for:

a. Receiving from the FOI Staff Officer requests for AID records believed to be in the custody of his/her Bureau or Office;

b. Supervising retrieval and review of the requested record by appropriate staff of his/her Bureau or Office;

c. Maintaining regular and prompt liaison with the FOI Staff Officer on the status of the retrieval and review process;

d. Notifying the FOI Staff Officer immediately upon determination that the record is releasable, or that his/her Bureau or Office intends to recommend denial of the request in whole or in part;

e. Notifying the FOI Staff Officer of charges assessable for search and duplication, if it is determined that the record may be released;

f. Promptly transmitting a copy of the requested record to the requester, together with a letter of transmittal, after it is determined that the record may be released, and after payment of charges, if any, has been made.

g. Immediately preparing and sending a justifying memorandum to the Director, OPA, when a determination has been made to recommend denial of a request, in whole or in part;

h. Completing and returning to the FOI Staff Officer form AID 810-2, Freedom of Information Action Control Record (Attachment C, Part III), appended to each FOI request referred to him/her;

i. Initiating systems as deemed necessary within his/her Bureau or Office to facilitate search, retrieval, and review. Such systems may include indexing of files, and segregating or otherwise flagging sensitive documents or parts of documents.

7. Directives and Publications Coordination Staff

The Directives and Publications Coordination Staff (SER/MP/DPC) is responsible for:

a. Preparing, updating quarterly, and distributing indexes providing identifying information for the public as to *all policy determinations and other directives* issued, adopted, or promulgated by AID and required by the FOIA to be made available or published;

b. Promptly furnishing index supplements to the FOI Staff Officer for the reading room.

10D

8. Freedom of Information Officer, AID Missions

The Freedom of Information Officer in AID Missions will be the Mission Director (or AID Representative/AID Affairs Officer) or a senior officer designated by the Mission Director. The Mission FOI Officer is responsible for the processing of all requests for records received by the Mission. His functions are governed by the rules and procedures set forth herein, except insofar as problems of communication with the FOI Staff Officer make special considerations necessary.

9. AID Mail Room

The AID Mail Room is responsible for:

a. Date/time stamping and immediately delivering by hand to the FOI Staff Officer all correspondence addressed to the Director, Office of Public Affairs, or otherwise marked "FOI request" or "Freedom of Information" on the envelope or letter, or believed requiring the attention of the FOI Staff Officer.

b. Date/time stamping and immediately delivering by hand to ES all correspondence addressed to the Administrator or Deputy Administrator and marked "FOI appeal."

10E. Processing Requests for Records, AID/Washington

1. All letters received by the Mail Room, clearly addressed to the Director, Office of Public Affairs, and marked in accordance with Section 212.33 of AID Regulation 12, or otherwise identifiable as "Freedom of Information" requests, will be given special attention. The Mail Room will stamp the date and time of receipt on such letters, and immediately deliver them by hand to the FOI Staff Officer.

2. The FOI Staff Officer will assign a control number to the request, determine the location of the record requested, and transfer action to the appropriate FOI Liaison Officer, together with a partially completed form AID 810-2 setting forth due dates for retrieval, review, and response. In all cases, FOI requests must be delivered by hand.

3. The FOI Liaison Officer must accept the action or find the appropriate office to do so. If action is transferred, the FOI Liaison Officer will have the request and attachments delivered by hand to the transferee FOI Liaison Officer, and notify the FOI Staff Officer immediately of the transfer.

4. Determination to Release

a. If the FOI Liaison Officer decides to release the requested record, he will so notify the FOI Staff Officer by phone. If no

charges are to be assessed, the FOI Liaison Officer will promptly mail a copy of the record to the requester. He will complete that part of form AID 810-2 designated for his action, and return it to the FOI Staff Officer, together with a copy of the letter of transmittal sent to the requester.

b. If search and/or duplication charges are to be assessed, the FOI Liaison Officer will notify the FOI Staff Officer by phone of the search time, the number of pages to be duplicated, and other special services (e.g., computer retrieval service time). The FOI Staff Officer will notify the requester of the charges, and upon receipt of payment, will instruct the FOI Liaison Officer to have the record duplicated and mailed to the requester. The FOI Liaison Officer will then complete his part of form AID 810-2 and return it to the FOI Staff Officer, together with a copy of his letter of transmittal to the requester.

c. The FOI Staff Officer will then close the file.

5. Determination to Deny

a. If the FOI Liaison Officer decides to recommend denial in whole or in part, he will first notify the FOI Staff Officer of his decision, then immediately deliver to the Director, OPA, a memorandum recommending denial. The recommendation must give reasons for the denial, and cite one or more of the nine categories of exemptions on which the denial may be based. (See Section 212.41 of AID Regulation 12, Attachment B, Part III.) He may consult the Assistant General Counsel designated to provide legal advice to his Bureau or Office for an opinion on the validity of his recommendation. The names and titles of all officers participating in the decision to deny must be included in the memorandum.

b. The memorandum recommending denial in whole or in part must be delivered by hand to the Director, OPA, no later than the assigned due date or the extended due date. (See 10E7.)

c. The Director, OPA, after consultation with GC/M&A, will determine whether the recommendation for denial is in accord with the letter and the spirit of the FOIA. If he decides to deny access, he will so notify the requester, and include in his letter of notification instructions for appealing the decision.

d. If the Director, OPA, rejects the recommendation to deny the request, he will so notify the FOI Liaison Officer, and instruct him to take appropriate steps to make the requested record available.

e. For guidance on processing requests for classified records, see 10I of these regulations. Also, see 10J, Segregable Portions, for guidance on disclosure of portions of documents otherwise withheld.

10E

6. Determination That Record Is Not Available

a. If, after a reasonable search, or a search consuming the fee limit authorized by the requester, a record has not been traced or retrieved, the FOI Liaison Officer will so notify the FOI Staff Officer.

b. The FOI Staff Officer will seek authorization from the requester for a continuation of the search, and will accordingly notify the FOI Liaison Officer whether the search is to be continued or abandoned. In the latter event, the FOI Liaison Officer will return completed form AID 810-2 to the FOI Staff Officer together with a memorandum describing efforts made to locate the record, and the names and titles of persons involved in the search.

7. Time Extensions

a. The FOI Liaison Officer will immediately phone the FOI Staff Officer whenever it is determined that retrieval and review of a requested record will require an extension of time because of "unusual circumstances," as defined in Section 212.34 (b) of AID Regulation 12. The Director, OPA, may approve an extension of up to 10 working days, and if approved, the FOI Staff Officer will notify the requester and the FOI Liaison Officer.

b. If a further extension of time is necessary, the FOI Staff Officer, at the request of the FOI Liaison Officer, will endeavor to negotiate a voluntary time extension with the requester, though such extension is not specifically provided for in AID Regulation 12.

8. Fees

a. Fees chargeable for search, duplication, and other services are itemized in Section 212.35 of AID Regulation 12.

b. Records will be released only when receipt of full payment of assessed fees, unless waived in whole or in part by the Director, OPA.

c. If within 60 days the requester fails to respond to a notification of fees payable, or declines to pay, the files are closed, and no further action on the request is necessary.

d. When notifying the requester of fees payable, the FOI Staff Officer will inform him that he may examine the requested record in the reading room at no charge other than that assessed for the search initially required to locate the record. File copies of records of the Agency may not be removed from the premises.

e. If the FOI Liaison Officer estimates that search and duplication charges will be in excess of $25, he will so notify the FOI Staff Officer before initiating a search, unless the requester had already agreed to cover search and duplication charges without limit. The FOI Staff Officer will notify the requester of the estimated charges, and if the requester agrees to cover the costs, will direct the FOI Liaison Officer to proceed with the search.

f. If initially or after obtaining an estimate of charges, the requester places a limit on the fees he is willing to pay, the FOI Liaison Officer will make every effort to locate, retrieve, and make the requested record available within the limitation specified.

g. If it is determined that a more adequate identification of the requested record will substantially reduce the time required for search, the FOI Liaison Officer will telephone the requester and offer assistance in better identifying the record.

10F. Other Requests for Records

1. All requests for AID records not made in accordance with Section 212.33 of AID Regulation 12, nor otherwise believed intended for consideration under the provisions of AID Regulation 12, will be processed by the Bureau or Office having custody of the record. Such requests are not subject to controls of the Director, OPA, or the FOI Staff Officer, except that in no case may anyone other than the Director, OPA, deny a request. The requester may be charged for search and duplication services, but it will be the responsibility of the FOI Liaison Officer to determine whether the requester wishes to pay such charges, and to process the request in accordance with whatever limitations may be specified by the requester. The FOI Staff Officer will become involved in the process in the following cases:

a. If the FOI Liaison Officer feels the request should be denied in whole or in part, he will forward the request, together with his recommendation for denial, to the FOI Staff Officer who will prepare a denial letter for the signature of the Director, OPA.

b. If fees are charged, the FOI Liaison Officer will receive payment and forward it to the FOI Staff Officer, together with a brief itemization of services supplied.

10G. Processing Requests for Records -- AID Missions

1. Formal FOI requests may be made to an AID Mission Director or his designated FOI Officer personally or in writing only by an American citizen physically present in the country where the Mission is located. Requests received from the United States or other countries should be referred to the FOI Staff Officer, AID/W, and the requester so notified,

10G1

unless the Mission has the requested material readily available and has no objection to its release. (In the latter case, the FOI Staff Officer need not be notified.)

2. In cases in which the FOI request is properly made by an American citizen present in the host country, the Mission Director is authorized to release the requested documents, unless he/she believes the material, or a portion thereof, should be exempt under Section 212.41 of AID Regulation 12 and should therefore be withheld. In the event the Mission Director or his/her designated FOI Officer believes part or all of the requested material should be withheld, or does not have the requested material available, he/she should immediately notify the FOI Staff Officer, as only the Director, OPA, has the authority to initially deny a request. An information copy should be sent to the appropriate FOI Liaison Officer. Such denial must be made within 10 working days of receipt of the request, otherwise the requester may sue the Agency. The FOI Staff Officer should be notified of all pertinent facts regarding the requester, the material requested, and the reasons for recommending denial of access.

3. If the Director, OPA, determines the material should be released, notwithstanding the Mission's recommendation, he/she will promptly notify the Mission. The Mission will in turn notify the requester and make the materials available after receipt of payment for search and duplication services. If the Director, OPA upholds the Mission recommendation to withhold, he/she or the Mission, as appropriate, will notify the requester of the decision, and advise him/her of his/her rights of appeal and the manner of submitting such appeal.

10H. Exemptions

1. *Records or parts of records may be withheld from release to the public only if they are found to fall within one or more of the nine exemptions itemized in Section 552(b) of the FOIA.* (See Section 212.41 of AID Regulation 12 -- Attachment B, Part III.)

2. The fact that all or parts of a record fall within one or more of the nine exemptions does not necessairly mean that a record must or should be withheld *from public disclosure. It should be withheld* only if there is a compelling reason to do so.

3. *There are certain records or parts of records which may never be released to the public. A number of categoreis of records which may not be released, and FOI Act exemptions permitting denial of public access to such records are:*

a. Records exempt from disclosure by statute, such as visa case files and Foreign Service personnel files. All such records are

10H3a

also exempt from disclosure under Section 552(b)(3) of the FOI Act (see Section 212.41(c) of AID Regulation 12) as records "specifically exempted from disclosure by statute." Disclosure of such records may result in statutory sanctions being imposed. Personnel and medical files and similar files "the disclosure of which would constitute a clearly unwarranted invasion of personal privacy" are also exempt from disclosure under Section 552(b)(6) of the FOI Act. (See Section 212.41(f) of AID Regulation 12.)

b. "Restricted data," cryptography, and intelligence sources or methods. Such records are exempt from disclosure under 552(b)(1) of the FOI Act (see Section 212.41(a) of AID Regulation 12) as information "specifically authorized under criteria established by an Executive Order to be kept secret in the interest of national defense or foreign policy."

c. Classified or otherwise restricted documents of foreign governments or international organizations without the permission of the government or organization. Such documents are exempt from disclosure under Section 552(b)(1) of the FOI Act (see Section 212.41(a) of AID Regulation 12) as "specifically authorized under an Executive Order to be kept secret in the interest of national defense or foreign policy." (Also see Section 5(B)(1) of Executive Order 11652.)

10I. Classified Records

1. Access to a record may not be denied simply because it is classified. It is the obligation of the FOI Liaison Officer to review the record to determine whether the classification is valid and in accordance with standards provided in AID Security Regulations and Executive Order 11652. (See App II, Ch 3, HB 6.)

2. The retention of a classification for parts of a requested record constitutes a denial, and must be justified in accordance with denial procedures. If a decision is made to declassify parts of a record, the FOI Liaison Officer is responsible for excising the classified and otherwise exemptable portions and preparing the remainder of the record (the segregable portions) for release to the requester. Records may be declassified, in whole or in part, only according to appropriate security regulations by authorized officers. This part does not authorize any change from declassification regulations.

10J. Segregable Portions

1. Ordinarily, a portion of a record may be considered reasonably segregable when, after classified and other exemptable parts have been deleted, there remains an intelligible record which is not out of context and does not contradict the parts of the record which are being withheld.

10J

2. In every case, each denied record must be examined to determine if there are portions that are reasonably segregable.

3. The copy of the record released to the requester must indicate where deletions have been made and the statutory exemption applicable to each of the deletions. These notations may be made on the released copy or, when not extensive, in the letter of transmittal.

10K. Other-Agency Documents

1. If parts of a record requested from AID are classified or otherwise controlled by another agency, but the main part of the record is AID-generated, the FOI Liaison Officer will contact the other agency to discuss release of the record. If because of these interagency deliberations a time extension becomes necessary, the FOI Liaison Officer will contact the FOI Staff Officer. (See 10E7.) The primary responsibility for determination to release or to deny may not be passed to the other agency. Any determination to deny parts of the record based on consultation with the other agency must be fully justified by the FOI Liaison Officer through normal denial procedures. The FOI Staff Officer must be notified immediately of any irreconcilable conflicts with another agency regarding denial of a request.

2. FOI Liaison Officers should make certain they are involved in consultations on an FOI request initiated by another agency. If a determination is made to release the records under consideration, the FOI Staff Officer need not be contacted. However, if a determination is made to deny a request, the FOI Staff Officer should be notified, and a memorandum recommending denial should be sent to the Director, OPA, in accordance with procedures established in paragraph 10E5 of these regulations. Only the Director, OPA, may formally notify another agency of an AID decision to deny a request for any part of a record.

10L. Appeals

1. All correspondence received by the Mail Room marked "FOI Appeal" shall be stamped with the date and time of receipt and delivered immediately by hand to the Office of the Executive Secretary (ES).

2. ES shall immediately notify the Administrator or Deputy Administrator of the receipt of the appeal, and shall have copies of the appeal correspondence promptly delivered by hand to the Director, OPA, the General Counsel, the Assistant Administrator or Director of the Bureau or Office whose FOI Liaison Officer recommended denial, and to any other Bureau or Office of AID whose comments would be germane to the appeal proceedings.

CHAPTER 11

MANDATORY CLASSIFICATION REVIEW

Uniform State/AID/USIA Security Regulations (5 FAM 900) specify that "at any time after the expiration of ten (10) years from the date of origin (a classified document) shall be subject to a mandatory classification review and disposition under the same conditions and criteria that apply to classified information and material created after the effective date of Executive Order 11652." (See HB 6, Chapter 3, 923.1).

To administer this directive, the Regulation adds that "Members of the public or Departments may direct requests for mandatory review for declassification to ... the Director, Office of Public Affairs, ... which shall in turn assign the request to the appropriate office for action. In addition, the office which has been assigned action shall immediately acknowledge receipt of the request in writing. ... The office which has been assigned action shall thereafter make a determination within 30 days of receipt or shall explain the reasons why further time is necessary." (See HB 6, Chapter 3, 926.1).

11A. OPA Responsibilities

To carry out this responsibility, the Office of Public Affairs must rely on other Offices and Bureaus of AID for assistance in assigning declassification reviews to offices best qualified to perform them.

OPA is required to file a quarterly report (see HB 6, App II, Ch 3) on the disposition of all mandatory declassification actions, and will therefore periodically call on offices which have been assigned action to report on the status of the review.

11B. *Application of the FOI Act*

1. If it is found under mandatory review that a classified record no longer meets the test for classification laid down in Section 1(A)(B) and (C) of Executive Order 11652 (AID Handbook 6 - Security, Chapter 3, sections 911.1, 911.2, and 911.3 of Uniform State/AID/USIA Security Regulations), it must be declassified.

2. However, because a record has been declassified does not necessarily mean that it must therefore be released. All or parts of a declassified record may be withheld under one or more of the nine exemptions from disclosure permitted under the FOI Act.

3. Some kinds of records, classified or not, may never be released to the public. (See Chapter 10H, Handbook 18, Part III.)

10L

3. The General Counsel, appropriate Assistant Administrators and Office Directors, and other AID officers so requested by the Administrator or Deputy Administrator will review the determination to deny and submit written recommendations on the appeal to the Administrator or Deputy Administrator.

4. The Director, OPA, will provide the Administrator or Deputy Administrator with all documents relating to his/her initial denial and copy of the denied record, but will not make a recommendation on any appeal action, or otherwise participate in appeal proceedings. The FOI Staff Officer will contact the requester as to any questions the Administrator or Deputy Administrator may have of the requester regarding the appeal.

5. The decision on the appeal by the Administrator or Deputy Administrator shall be the final decision of the Agency.

PART III - INFORMATION TO THE PUBLIC

ATTACHMENT A

Uniform State/AID/USIA Regulations

(These rules apply to the three organizations across-the-board. For the most part, they do not add to the procedures outlined in Part I, but on some points are more explicit.)

ATTACHMENT A

UNIFORM STATE/AID/USIA REGULATIONS

*628 Speaking, Writing, and Teaching

628.1 Applicability

The provisions of this section apply to all employees, including foreign nationals, of State, A.I.D., and USIA, in the United States and abroad, with respect to:

a. Clearance of writings; and

b. Clearance of engagements to speak, lecture, teach, or participate in conferences.

Certain employees are assigned to duties which require making speeches, holding interviews, or otherwise engaging in discussions on a variety of topics. The following provisions are not intended to interfere with the normal performance of these duties or to require clearance for any such activities carried out within established policy guidelines, except as may be dictated by the exercise of prudence and good judgment.

628.2 General Policy and Procedures

a. The foreign affairs agencies encourage participation by their employees in activities of a responsible and nonpartisan character devoted to increasing public study or understanding of the nation's foreign relations and of the work of the agencies.

Such activities may be performed in an official or private capacity, but, until shown to be otherwise, it will be presumed for the purpose of determining when compensation may be received that all speaking or writing by an employee which concerns the current responsibilities, programs, or operations of his agency is done in an official capacity. All speaking, writing, and teaching materials which may reasonably be interpreted as relating to the current responsibilities, programs, or operations of any employee's agency or to current U.S. foreign policies, or which reasonably may be expected to affect the foreign relations of the United States are of official concern and shall be submitted, as provided in the following pertinent sections, for clearance by the employee's agency, whether the employee is acting officially or privately.

b. No employee shall publish any material of official concern under paragraph a until it has been cleared. The purpose of this clearance requirement is to substitute the agency's institutional judgment for the employee's judgment when the question involved concerns either the release or accuracy of information concerning his agency's responsibilities or what conclusions should be drawn from such information. Accordingly, clearance is not required to reprint or republish in other form material that has been cleared at an earlier date.

c. Clearance will not be granted until all classified material and all material of official concern under paragraph a which is inaccurate, inconsistent with current foreign policy, or can reasonably be expected to affect adversely U.S. foreign relations, has been deleted from the proposed speaking, writing, or teaching material.

d. The foreign affairs agencies will adopt interagency procedures to assure review of and guidance on material of official concern in their primary fields of responsibility. *

(*) New Material

*628.3 Speeches and Interviews

628.3-1 Speaking in the United States

a. All invitations to speak, lecture, or participate in conferences in the United States, during the course of official duty, on a subject of official concern under section 628.2, shall be referred for acceptance to the appropriate office in the employee's agency. The appropriate office in State, is the Bureau of Public Affairs; in A.I.D., the Information Staff; and in USIA, the Office of Public Information.

b. The text or outline of each speech or lecture by an employee of the rank of office director or above in State and A.I.D., and of Assistant Director, General Counsel, and Inspector General in USIA, of official concern under section 628.2, shall be submitted for preliminary clearance to the office within his agency concerned with the subject matter of the speech or lecture and then for final clearance by the appropriate office in his agency specified in paragraph a.

A subordinate officer shall submit the text of such a speech or lecture to his office director or official of comparable rank if he is in State or A.I.D., or to his office or service head if he is in USIA, who may either disapprove the text or approve it and refer it for further review by the offices concerned with the subject matter of the speech or lecture and by the appropriate office named in paragraph a.

c. In informal presentations, professional meetings, conferences, and panel discussions where, because of the nature of the public appearance, no prepared script or outline will be available for clearance, the employee himself is responsible for ensuring that his remarks involve no violation of security, are consistent with U.S. foreign policy, and will not adversely affect U.S. foreign relations.

628.3-2 Speaking and Interviews Abroad

a. Authorization

Under prior approval of the ambassador, or his designee, an employee abroad may give public speeches and lectures and participate in conferences and the like and hold on-the-record newspaper interviews or other formal discussions of government policy. Prior interagency consultation on important public statements is expected, where appropriate.

b. Topics to be Avoided

An employee abroad may not allude in public speeches or newspaper interviews to disputes between governments, to active political issues in the United States or elsewhere, or to any matter pending at any post, except by the direction or with the authorization of the ambassador, or his designee.

628.4 Racially Segregated Audiences

Employees should not participate in conferenc or speak before audiences in an official capacity where any racial group has been segregated or excluded from the meeting, from any of the facilities of the conference, or from membership in a sponsoring organization.

For State and USIA only: Exceptions to this general policy may be made only by the respective agency head (for personnel in the United States) or by the chief of the diplomatic mission (for personnel abroad). *

(*) New Material

UNIFORM STATE/AID/USIA REGULATIONS

628.5 Writing

628.5-1 Acting as Correspondent for Communications Media

Certain employees carry on active liaison with representatives of communications media. However, no employee shall act as correspondent for any newspaper, press syndicate, association, or other media unless special authorization has been obtained in advance from the appropriate official. The appropriate official for State is the Assistant Secretary for Public Affairs; for A.I.D., the Director, Information Staff; and for USIA, the Assistant Director (Public Information).

628.5-2 Official Writing for External Publication

To ensure consistency with U.S. policy, heads of State, A.I.D., and USIA and overseas establishments and employees in the United States with the rank of office director or above for State, and A.I.D., or with the rank of Assistant Director for USIA, shall submit for clearance by the appropriate office named in section 628.3-1 all written material prepared in an official capacity for external publication under bylines or official titles. Preliminary clearances shall first be obtained from appropriate offices of the agency concerned with the subject matter.

Subordinate personnel shall, after obtaining any necessary preliminary substantive clearances from appropriate offices of the agency concerned with the subject matter, submit such material for clearance to (1) the head of their overseas establishment, if serving abroad, or (2) their office director or official of comparable rank if in State or A.I.D., or by the office or service head if in USIA, if assigned in the United States, who may either disapprove the material or approve it and refer it for further review by the appropriate office named in section 628.3-1a.

628.5-3 Unofficial Writing

All books, articles, and other manuscripts of official concern under section 628.2, prepared for publication by an employee in an unofficial capacity, shall be submitted for clearance in advance of publication in accordance with the procedures in section 628.5-2. Authors will be notified of decisions with respect to clearance of manuscripts, and the manuscripts will be either returned or forwarded, upon written request, to publishers or agents designated by the author.

All such writings which are not on matters of official concern need not be submitted for clearance; however, unless the unofficial writing is clearly not on a subject of official concern under section 628.2, the employee is responsible for having published with it a specific statement to the effect that the opinions and views expressed are his own and not necessarily those of his agency. If there is doubt as to the propriety of the proposed publication, the employee should seek guidance or advice from the areas concerned with the subject matter.

To avoid possible embarrassment, employees should not make commitments to publishers until manuscripts have been approved. Personnel stationed abroad shall use their best efforts to assure that members of their families (as defined in 3 FAM 620 section 10.735-102) also follow these procedures. *

(*) New Material

* 628.6 Teaching

628.6-1 In the United States

Officers of the rank of office director and above in State and A.I.D., and of Assistant Director, General Counsel, and Inspector General and above in USIA, may accept teaching engagements in the United States at their own discretion without approval by higher authority.

Any other employee before accepting a teaching engagement must obtain approval of his office director if he is in State or A.I.D., or of his office or service head if he is USIA, and of the appropriate office named in section 628.3-1a. If the subject matter to be taught is of official concern under section 628.2, the request for approval shall include a detailed outline of the course to be taught, including the names of required texts and brief descriptions of other reading materials, the name of the institution for which the class is to be taught, the frequency of classes, and the period of time involved; and the request shall be routed for clearance through the areas of his agency concerned with the subject matter. If the subject matter to be taught is clearly not of official concern, the request for approval shall be in the form indicated above but a brief description of the course may be substituted for the detailed outline. All approvals of teaching engagements must be renewed each school year.

628.6-2 Abroad

Before accepting an engagement to teach abroad an employee must obtain approval as required by the Uniform State/A.I.D./USIA regulations on employee responsibilities and conduct, 3 FAM 620 (A.I.D. M.O. 443.1) section 10.735-206(b). The request for approval shall include a detailed outline of the course to be taught, including the names of required texts and brief descriptions of other reading materials, the name of the institution for which the class is to be taught, the frequency of classes and the period of time involved. The restrictions contained in section 628.3-2b apply to all courses taught abroad. All approvals of teaching engagements must be renewed each school year. Personnel stationed abroad shall use their best efforts to assure that members of their families (as defined in 3 FAM 620 section 10.735-102) follow the procedures for obtaining approval to teach set forth in 3 FAM 620 (A.I.D. M.O. 443.1) section 10.735-206. *

(*) New Material

UNIFORM STATE/AID/USIA REGULATIONS

* 628.7 Compensation

628.7-1 Advance Approval

Without the advance approval of the agency's Counselor on Ethical Conduct and Conflicts of Interest an employee may not accept compensation, fees, honorariums, or anything of monetary value for any consultation, speech, lecture, discussion, writing, appearance, or teaching engagement for which clearance is required under sections 628.3, 628.5, or 628.6 because the subject is of official concern under section 628.2. The applicable standards governing receipt of compensation are set forth in sections 10.735-201(a), 204, and 206 of 3 FAM 620 (A.I.D. M.O. 443.1). Requests for such approval may be submitted to the office responsible for final clearance (see sections 628.3 and 628.5) at the time clearance is sought. This office shall forward the request to the agency's Counselor on Ethical Conduct and Conflict of Interest.

628.7-2 Suggesting Use of Funds

An employee who is prohibited pursuant to the provisions of section 628.7-1 from accepting compensation or anything of monetary value for certain activities may suggest that what he otherwise would receive be paid into the Treasury of the United States, be donated to his agency as a gift, or be donated to a charity by the sponsoring organization in its own name. Whether any donation or contribution be made and, if so, to whom, shall be left to the discretion of the sponsoring organization. *

*628.8 Reimbursement of Expenses

628.8-1 Acceptance

a. With the prior approval of the office responsible for final clearance (see sections 628.3 and 628.5), an employee who is prohibited from accepting compensation or anything of monetary value may accept from a sponsoring organization reimbursement of actual expenses incurred in connection with such activity, where allowed by 3 FAM 620 (section 10.735-202(f)).

b. Where acceptance of direct reimbursement by an employee is prohibited or is disapproved by the office responsible, his agency may nevertheless accept reimbursement as a gift. In such cases, and with the prior approval of the office responsible, the employee may accept accommodations or services in kind as a gift on behalf of the agency.

c. A member of an employee's family who has been invited by the sponsoring organization to accompany the employee to a function is free to accept reimbursement for his or her expenses.

628.8-2 Solicitation

a. An employee shall not solicit reimbursement for expenses, nor shall he solicit an invitation for a member of his family to accompany him in connection with an activity for which he is prohibited from receiving compensation or anything of monetary value.

b. Reimbursement may be accepted only when freely offered or tendered by the sponsoring organization. However, it is the policy in responding to an invitation to furnish an officer to speak, lecture, or participate in a conference, to inquire whether the sponsoring organization is prepared to pay the actual and necessary expenses incurred in connection with such activity.

628.8-3 Official Reimbursement

a. When a sponsoring organization pays all or a portion of the expenses of an employee in connection with a speech, lecture, discussion, or appearance, the employee shall not be reimbursed by his agency for that portion of per diem and travel expenses which was paid by the sponsoring organization. However, no deduction shall be made for luncheons, dinners, receptions, and similar functions incidental to the activity.

b. For USIA employees, no costs for such appearances, including transportation, per diem, and related expenses, will be charged to USIA appropriated funds unless specifically authorized by the Director of USIA. *

(*) New Material

ATTACHMENT B

AID REGULATION 12 - PUBLIC INFORMATION

There follows below the text of AID Regulation 12 - Public Information, as published in the Federal Register of February 19, 1975 (40 F.R. 7327) and effective on that date.

DEPARTMENT OF STATE

Agency for International Development

Title 22—Foreign Relations

CHAPTER II—AGENCY FOR INTERNATIONAL DEVELOPMENT, DEPARTMENT OF STATE

[A.I.D. Reg. 12]

PART 212—PUBLIC INFORMATION

On November 21, 1974, Congress amended the Freedom of Information Act (5 U.S.C. 552). These amendments (Pub. L. 93-502) change the directives under which the former Public Information regulations of the Agency for International Development were issued and require changes in the procedures by which information requests are processed. Accordingly, Part 212 is hereby repealed and a new Part 212 is substituted therefor setting forth new procedures for requests, appeals and processing such requests and appeals under the Freedom of Information Act.

Since the Freedom of Information amendments require persons making requests to follow published rules stating the time, place, fees, and procedures to be followed, it is considered in the public interest to publish promptly the required rules of this Agency. It would be impractical to delay the effective date of the regulations beyond the effective date of the Freedom of Information amendments. Therefore, pursuant to 5 U.S.C. 553(d), these regulations shall be effective on February 19, 1975 without the normal 30-day notice being given.

However, in accordance with the spirit of the public policy set forth in 5 U.S.C. 553, interested persons may submit written comments, suggestions, data or arguments to the Director, Office of Public Affairs, Agency for International Development, Department of State, 21st and Virginia Ave., NW., Washington, D.C. 20523, on or before March 25, 1975. Material thus submitted will be evaluated and acted upon in the same manner as if this document were a proposal.

Subpart A—General

Sec.
212.1 Statement of policy.

Subpart B—Publication in the Federal Register

212.11 Materials to be published.
212.12 Effect of nonpublication.
212.13 Incorporation by reference.

Subpart C—Availability of Information for Public Inspection and Copying

212.21 Public records.
212.22 Protection of personal privacy.
212.23 Current index.
212.24 Effect of noncompliance.
212.25 Procedures for obtaining materials under this subpart.

Subpart D—Access to Agency Records

212.31 Access to Agency records.
212.32 Identification of records.
212.33 Procedure for making requests.
212.34 Procedures for responding to requests for records.
212.35 Schedule of fees and methods of payment for services rendered.
212.36 Denial of request for access to records.
212.37 Procedures for agency consideration of appeals.

Subpart E—Exemptions from Disclosure

212.41 Exemptions from the publication and disclosure requirements of Subparts B, C, and D.

Subpart F—Opening of Records for Nonofficial Research Purposes

212.51 General policy.

AUTHORITY: The provisions of Part 212 are issued under Sec. 621, the Foreign Assistance Act of 1961, as amended, 75 Stat. 445 (22 U.S.C. 2381), Executive Order 10561, as amended by Executive Order 10816, sec. 3, Administrative Procedure Act, 60 Stat. 237, as revised by Pub. L. 89-487, 80 Stat. 250 as amended by Pub. L. 93-502, 88 Stat. 1561 (5 U.S.C. 552).

Subpart A—General

§ 212.1 Statement of policy.

(a) It is the policy of the Agency for International Development that information about its objectives and operations be freely available to the public in accordance with the provisions of Pub. L. 89-487 (80 Stat. 250) as amended by Pub. L. 93-502. The Director, Office of Public Affairs is responsible for administration of the provisions of the regulations of this part.

(b) All records of the Agency for International Development shall be made available to the public upon compliance with the procedures established in this regulation, except to the extent a determination is made to withhold a record exemptable under 5 U.S.C. 552(b). Such a determination shall be made pursuant to procedures set forth in §§ 212.36 and 212.37.

212.1

(c) The term "record" includes all books, papers, maps, photographs, or other documentary material, or copies thereof, regardless of physical form or characteristics, made in or received by the Agency for International Development (including its Missions abroad), and preserved as evidence of its organization, functions, policies, decisions, procedures, operations, or other activities. It does not include copies of the records of other Government agencies, foreign governments, international organizations, or non-governmental entities which do not evidence organization, functions, policies, decisions, procedures, operations, or activities of the Agency for International Development.

Subpart B—Publication in the Federal Register

§ 212.11 Materials to be published.

(a) The Agency separately states and currently publishes in the FEDERAL REGISTER for the guidance of the public:

(1) Descriptions of its central and field organization and the established places at which, the officers from whom and the methods whereby, the public may secure information, make submittals or requests, or obtain decisions;

(2) Statements of the general course and method by which its functions are channelled and determined, including the nature and requirements of all formal and informal procedures available;

(3) Rules of procedure, descriptions of forms available or the places at which forms may be obtained, and instructions as to the scope and contents of all papers, reports, or examinations;

(4) Substantive rules of general applicability adopted as authorized by law, and statements of general policy or interpretations of general applicability formulated and adopted by the Agency; and

(5) Every amendment, revision or repeal of the foregoing.

(b) A.I.D. Public Notice No. 1 and the A.I.D. Regulations published in Chapter II of Title 22 and in Sub-Title A. Chapter 7 of Title 41 of the Code of Federal Regulations, implement the provisions of this section.

§ 212.12 Effect of nonpublication.

Except to the extent that a person has actual and timely notice of the terms thereof, no person shall in any manner be required to resort to, or be adversely affected by any A.I.D. matter required to be published in the FEDERAL REGISTER and not so published.

§ 212.13 Incorporation by reference.

For purposes of this Subpart B, A.I.D. matter which is reasonably available to the class of persons affected thereby is deemed to be published in the FEDERAL REGISTER when it has been incorporated by reference therein with the approval of the Director of the FEDERAL REGISTER.

Subpart C—Availability of Information for Public Inspection and Copying

§ 212.21 Public records.

In accordance with this subpart, A.I.D. makes the following information and materials available for public inspection and copying:

(a) All final opinions (including concurring and dissenting opinions), and all orders made in the adjudication of cases;

(b) Those statements of policy and interpretations which have been adopted by the Agency and are not published in the FEDERAL REGISTER; and

(c) Administrative staff manuals and instructions to staff that affect any member of the public.

§ 212.22 Protection of personal privacy.

To the extent required to prevent a clearly unwarranted invasion of personal privacy, the Agency may delete identifying details when it makes available or publishes an opinion, statement of policy, interpretation, or staff manual or instruction, and will, in each such case, explain in writing the justification for the deletion.

§ 212.23 Current index.

The Agency maintains and makes available for public inspection and copying a current index providing identifying information for the public as to any matter which is issued, adopted, or promulgated after July 4, 1967, and which is required by § 212.21 to be made available or published. Publication of an index is deemed both unnecessary and impractical. However, copies of the index are available upon request for a fee of the direct cost of duplication.

§ 212.24 Effect of noncompliance.

No final order, opinion, statement of policy, interpretation, or staff manual or instruction that affects any member of the public will be relied upon, used, or cited as precedent by the Agency against any private party unless it has been indexed and either made available or published as provided by this subpart, or unless that private party shall have actual and timely notice of the terms thereof.

§ 212.25 Procedures for obtaining materials under this subpart.

(a) The materials required to be made available for public inspection and copying in accordance with this subpart are available to members of the public at the Agency for International Development Public Reading Room, Room 4943, Department of State Building, 21st and Virginia Ave., NW., Washington, D.C. which is open from 9 a.m. to 5 p.m., Monday through Friday, except on Holidays.

(b) Requests for materials which are available under this subpart should follow the procedures under Subpart D.

212.25

(c) The direct costs of any necessary duplication will be charged in accordance with the fee schedule set forth in § 212.35.

(d) The USAID Missions in countries abroad are not responsible for the maintenance of the index and materials available under this subpart. However, in so far as they do have these materials, they will make them available to citizens of the United States who are present in their respective countries upon either in person application or writing to the Director, USAID, c/o American Embassy in the applicable country.

Subpart D—Access to Agency Records

§ 212.31 Availability of Agency Records.

Upon receiving a request for a record, which reasonably describes such record, and which is made in accordance with the provisions of this Subpart, the Agency for International Development will make such records promptly available to any person, except the following: (a) matters published in the FEDERAL REGISTER pursuant to Subpart B; (b) matters made available to the public pursuant to Subpart C; and (c) matters exempt from disclosure pursuant to § 212.41.

§ 212.32 Identification of records.

The request for a record by a member of the public must contain a reasonably specific description of the particular record sought so that an officer of the Agency who is familiar with the subject matter of the request may be able to locate the record with a reasonable amount of effort. A description that includes as much information as possible, such as the subject matter, format, approximate date, and where pertinent, the name of the country or person involved, will facilitate the search for the requested record.

§ 212.33 Procedure for making requests.

(a) Requests for reasonably described records may be made by a member of the public either in person or by writing to the Director, Office of Public Affairs, Agency for International Development, Department of State, 21st and Virginia Ave., NW., Washington, D.C. 20523. The request and the envelope must be plainly marked "FOI Request." Requests may be made in person by going to the Agency for International Development Public Reading Room, Room 4943, Department of State Building, 21st and Virginia Ave., NW., Washington, D.C., which is open from 9 a.m. to 5 p.m., Monday through Friday, except on Holidays. Telephonic requests cannot be accepted.

(b) Requests for reasonably described records may be made directly to USAID missions abroad only by citizens of the United States who are present in their respective countries by either personal application or by written application to the Director, USAID, care of American Embassy in the applicable country. Any written request and its envelope must be plainly marked "FOI Request."

(c) If a request not properly marked "FOI Request" on the request and envelope is inadvertently delayed in reaching the Director, Office of Public Affairs, or is erroneously sent to a USAID mission abroad, it will not be deemed received by the Agency until actually received by the Director, Office of Public Affairs. In such event, the person making the request will be furnished a notice of the effective date of receipt.

§ 212.34 Procedures for responding to requests for records.

(a) Upon receipt of the request by the Director, Office of Public Affairs, a maximum of 10 working days will normally be taken to determine to what extent the Agency can provide the information requested, and upon the making of the determination, the person making the request will be immediately informed. Copies of the releasable documents shall be made available promptly thereafter upon receipt of appropriate fees as set forth in § 212.35.

(b) In unusual circumstances, the Agency may not be able to determine the availability of the requested documents within 10 working days, in which event the person making the request will be informed by written notice of the delay, the reasons for the delay and the date on which a determination may be expected. The maximum time in making a determination of availability will be 20 working days from receipt of the request. If only part of the permissible 10 working days extension is used, the Agency reserves the right to use any remainder of the time for an extension of time for the determination of an appeal, if one is made, and the unusual circumstances require an extension of time to decide an appeal. A time extension for unusual circumstances will be used as reasonably necessary for a particular request in the following instances:

(1) When there is a need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request;

(2) When there is a need to search for, collect, and appropriately examine a voluminous amount of separate and distinct records which are demanded in a single request; or

212.34(b)

(3) When there is a need for consultation, which shall be conducted with all practicable speed, with another agency having a substantial interest in the determination of the request or among two or more components of the agency having substantial subject-matter interest therein.

(c) If, in spite of diligent efforts, circumstances are such that the Agency cannot make a complete and final determination even within the 10-day extension period, a denial of the request may be made. However, the Agency will continue the determination process and the denial will contain a statement to this effect with a date when final determination is expected. As soon as a final determination can be made, the person making the request will be further notified. This provision does not in any way limit or abridge the person's right to appeal the initial denial. It is only an informal process that may exist in addition to the appeal procedure in an attempt to prevent the necessity of appeal when the denial is issued without a full determination but solely in order to meet the Agency's time deadlines.

(d) If a request is made to this Agency for material that is controlled or held by another agency, the request will be referred to the appropriate agency for action and the person making the request will be immediately notified of the referral, unless the other agency has, by public regulation, delegated the release authority to this Agency. If release authority has been delegated, this Agency will follow the procedures authorized by the delegation in determining whether to release the information. If a request for material is referred to this Agency from another agency, the time period for determination of release of the information will not start until the request is received by the Director, Office of Public Affairs. The person making the request will be immediately notified of the referral and the date the request was received in this Agency. This Agency will not accept referral of requests unless and until the Director, Office of Public Affairs, determines that the material requested is actually within the scope and control of the release authority of the Agency for International Development.

(e) If only a part of a record is exempt from disclosure, then any reasonably segregable portion of such record shall be furnished after deletion of the portions which are exempt, provided that the segregable portion constitutes an intelligible record which is not distorted out of context or contradictory to the substance of the entire record before segregation.

§ 212.35 Schedule of fees and method of payment for services rendered.

(a) The following specific fees shall be applicable with respect to services rendered to members of the public under this part:

(1) Searching for records, per hour, after 1st hour $0.00
(2) Copies made by photostat or otherwise (per page). (Maximum of 2 copies will be provided.) ..... .10
(3) Duplication of architectural photographs and drawings 2.00

(b) When no specific fee has been established for a service, for example, when the search involves computer time or special travel, transportation, or communications costs, the Director, Office of Public Affairs, is authorized to determine the direct costs of the service and include such costs in the fees chargeable under this section.

(c) Where it is anticipated that the fees chargeable under this section will amount to more than $25, and the requester has not indicated in advance his willingness to pay fees as high as are anticipated, the requester shall be promptly notified of the amount of the anticipated fee or such portion thereof as can readily be estimated. In appropriate cases an advance deposit may be required. The requester is at any time welcome to confer with knowledgeable Agency personnel in an attempt to formulate the request in a manner which will reduce the fees and meet the needs of the requester. A request will not be deemed to have been received until the requester has agreed to pay the anticipated fees and has made an advance deposit if one is required.

(d) Search costs are due and payable even if the record which was requested cannot be located after all reasonable efforts or if the Agency determines that a record which has been requested but which is exempt from disclosure under this part is to be withheld.

(e) Fees must be paid in full prior to issuance of requested copies.

(f) Remittances shall be in the form either of a personal check or bank draft drawn on a bank in the United States, a postal money order, or cash. Remittances shall be made payable to the order of the Treasury of the United States and mailed to the Director, Freedom of Information Staff, Office of Public Affairs, Agency for International Development, Washington, D.C. 20523. The Agency will assume no responsibility for cash which is lost in the mail.

(g) A receipt for fees paid will be given only upon request. Refund of fees paid for services actually rendered will not be made.

(h) The Director, Office of Public Affairs, or an officer designated by the Director may waive all or part of any fee provided for in this section when the Director or the designated officer deems it to be in either the Agency's interest or in the general public's interest.

§ 212.36 Denial of request for access to records.

(a) If it is determined that the Agency cannot comply with all or part of a request for records, the person making the request shall be immediately notified of the determination, the reasons for the determination, the name and title of each officer responsible for the denial, and the right of the person to appeal the adverse determination.

(b) The denial of a request for records may be made only by the Director, Office of Public Affairs or his delegate. The General Counsel shall be consulted prior to a decision to deny access.

(c) Any person who has been denied access to records pursuant to this section may appeal the adverse decision not later than 60 days after the date of the notification of denial or, in the case of a partial denial, after the date the releasable documents are actually furnished the person making the request, whichever is later. The appeal shall be in writing addressed to the Administrator or Deputy Administrator, Agency for International Development, 21st and Virginia Ave., NW., Washington, D.C. 20523. In order to make a timely response to the appeal, both the appeal and the envelope must be plainly marked "FOI Appeal". The appeal should contain a reasonable description of the record sought and withheld, a copy of the initial decision to deny access and any other information that will enable the Administrator or Deputy Administrator to make the final decision.

§ 212.37 Procedures for Agency consideration of appeals.

(a) Upon receipt of the appeal by the Administrator or Deputy Administrator, a maximum of 20 working days will normally be taken to decide the appeal. In unusual circumstances, as defined in § 212.34, the 20 working days may be extended by 10 working days or by the number of days not used in the original denial of the request.

(b) If the appeal is granted, the person making the appeal shall be immediately notified and copies of the releasable documents shall be made available promptly thereafter upon receipt of appropriate fees as set forth in 212.35. If the appeal is denied in whole or part, the person making the request shall be immediately notified of the decision and of the provisions of judicial review of the Agency's denial of the request.

(c) In the event a determination is not issued within the appropriate time limit and the person making the request chooses to sue the Agency, the determination process shall continue and the Administrator or Deputy Administrator may review any initial denial of the requested records.

(d) If appeals not properly marked "FOI Appeal" on the appeal and envelope are inadvertently delayed in reaching the Administrator or Deputy Administrator, they will not be deemed received by the Agency until actually received by the Administrator or Deputy Administrator. In such event, the person making the appeal will be furnished a notice of the effective date of receipt.

Subpart E—Exemptions From Disclosure

§ 212.41 Exemptions from the publication and disclosure requirements of Subparts B, C, and D.

None of the provisions of Subparts B, C, and D which provide for publication and disclosure of certain information and records shall be applicable to matters that are:

(a) (1) Specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy and (2) are in fact properly classified pursuant to such Executive order;

(b) Related solely to the internal personnel rules and practices of the agency;

(c) Specifically exempted from disclosure by statute;

(d) Trade secrets and commercial or financial information obtained from a person and privileged or confidential;

(e) Interagency or intra-agency memorandums or letters which would not be available by law to a party other than an agency in litigation with the agency;

(f) Personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy;

(g) Investigatory records compiled for law enforcement purposes, but only to the extent that the production of such records would (1) interfere with enforcement proceedings, (2) deprive a person of a right to a fair trial or an impartial adjudication, (3) constitute an unwarranted invasion of personal privacy, (4) disclose the identity of a confidential source and, in the case of a record compiled by a criminal law enforcement authority in the course of a criminal investigation, or by an agency conducting a lawful national security intelligence investigation, confidential information furnished only by the confidential source, (5) disclose investigative techniques and procedures, or (6) endanger the life or physical safety of law enforcement personnel;

(h) Contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of any agency responsible for the regulation or supervision of financial institutions; and

(i) Geological and geophysical information and data (including maps) concerning wells.

Subpart F—Opening of Records for Nonofficial Research Purposes

§ 212.51 General policy.

(1) In accordance with the policy of the Department of State, the Agency for International Development will open its records on an equitable basis to all individuals engaged in private research as soon as such action may be taken without adversely affecting the national security, the maintenance of friendly relations with other nations, the efficient operation of the agency, and the administrative feasibility of servicing requests for access to such records.

(2) Access for research in the classified foreign policy records in A.I.D.'s custody will be governed by the regulations of the Department of State in respect thereto, as set forth in Part 6, Chapter II of Title II of the Code of Federal Regulations. Application for such access may be made to the Director, Public Affairs, Agency for International Development, 21st and Virginia Avenue NW., Washington, D.C. 20523. The Director, Public Affairs, in consultation with the Director, Historical Office, Department of State, will determine the action to be taken and advise the researcher.

Effective date. This regulation is effective February 19, 1975.

Dated: February 14, 1975.

JOHN E. MURPHY,
Deputy Administrator, Agency for International Development.

[FR Doc.75-4634 Filed 2-18-75;9:20 am]

FREEDOM OF INFORMATION ACTION CONTROL RECORD

CONTROL NO.

TO BE COMPLETED BY OPA/FOI

REQUESTOR'S NAME	AFFILIATION	DATE OF REQUEST
STREET ADDRESS	CITY, STATE, ZIP CODE	DATE RECEIVED OPA/FOI
PHONE NO. *(Area Code)*	DOCUMENT ID	DATE ACKNOWLEDGED

DISPOSITION

REFERRED TO	DATE	RESPONSE DUE	DATE NOTIFIED OF EXTENSION

COMMENTS

TO BE COMPLETED BY FOI LIAISON

ACTION TAKEN *(check appropriate box)*		DATE RECEIVED FROM OPA/FOI		
	DOCUMENT TO REQUESTOR			
	EXTRA COPY NOT AVAILABLE	SERVICE	SEARCH *(No. of hours)*	
	COPY DUPLICATED			
	PARTIALLY DENIED (MEMO ATTACHED)		DUPLICATION *(No. of pages)*	
	WHOLLY DENIED (MEMO ATTACHED)			
SIGNATURE OF FOI LIAISON OFFICER		DATE ACTION COMPLETED		DATE RETURNED TO OPA/FOI

COMMENTS

TO BE COMPLETED BY OPA/FOI

	FINAL DISPOSITION *(check appropriate box)*	FEES	AMOUNT CHARGED	AMOUNT COLLECTED	DATE
	REQUEST FILLED				
	PARTIALLY DENIED	DUPLICATION			
	WHOLLY DENIED	SEARCH			
DATE ACTION COMPLETED		OTHER			
		TOTAL			

COMMENTS

AID 810-2 (3-75)

CHAPTER 12

ACCESS TO AND PROTECTION OF RECORDS ON INDIVIDUALS

PRIVACY ACT - 1974

12A. Purpose

This chapter contains AID policy, regulations, notice of systems of records, rules of conduct and procedures for safeguarding individual privacy and insuring access by individuals to records about themselves. It also establishes policy and procedures for the disclosure of personal information and assigns responsibility within AID for various actions necessary to fulfill the requirements of the Privacy Act of 1974.

12B. The Privacy Act of 1974 (P.L. 93-579)

1. General

The passage of the Privacy Act reflects a general public concern with possible invasions of individual privacy resulting from the rapid growth of automated data systems and the increasing ease with which they could be interconnected. The Act gives statutory confirmation to the longstanding precept of common law that personal information about individuals is their property and that individuals' privacy is not to be invaded without consent. The full text of the Act appears in Appendix A to this Chapter.

2. Provisions of the Act

The main provisions of the Act are summarized below under the guiding principles which the law establishes:

a. There are to be no Government Systems of Records (files) containing personal information and retrievable by name or personal identifier whose existence is not public knowledge.

b. Records are to contain only information about individuals which is necessary and relevant to authorized functions of the Agency and records should be accurate, complete and up to date.

Address questions about this Chapter 12 of Part III to SER/PM/PLD.

12B2

c. Information is to be collected from the individual, to the extent possible, when it affects the individual's rights or benefits

d. Individuals are to have access to their records to review them, to obtain copies thereof and to correct them.

e. There is to be no disclosure of personal information without the consent of the individual concerned except as authorized by the Act.

f. An accounting for all disclosure made outside AID is to be maintained.

12C. Policy

It is AID policy to deal with all employees and members of the public in an open manner, respecting their right to privacy, observing due process, and limiting collection, use or disclosure of information about individuals to those lawful purposes which contribute to AID's conduct of its authorized functions. It will continue to be AID policy to refer to the individual directly in verifying personnel records and personal information; to provide to individuals convenient access to records about them, consistent with the law and the need to protect the right of all individuals to privacy; to assure that records about individuals are accurate, complete, and up to date and to correct them when necessary or appropriate. The principles of openness, fairness, and discretion in dealing with individuals or information about them are to be observed by all officers and employees of the Agency. It is AID policy to give full meaning to the spirit of the Act in carrying out its provisions.

12D. Definitions

1. Access - the process of making a record available to an individual who is the subject of the record to inspect in person or by providing a copy of the record by mail.

2. Acccounting for Disclosure - a notation, on form A.I.D. 490-4, of the date, content, and purpose of a disclosure of a record to another person or agency, the name and address of the person or agency to whom the disclosure is made, and the authority for the disclosure.

3. Amendment - a change to, correction of, or deletion from a record made under the Act at the individual's written request.

12D

4. Appeal - the process of asking for AID review of a refusal to amend a record.

5. Consent - written request by an individual asking the agency to give specific information to a specific entity, or written consent to do so. (The fact that a person is told when information is solicited of the purposes for which it will be used does not constitute consent.)

6. Disclosure - making available a record to another person or entity, other than the individual to whom the record pertains by any means of communication (oral, written, electronic).

7. File custodian - the agency employee who has immediate physical custody of the file (paper, film, magnetic tape) in which a record is stored and who is responsible for retrieving the record.

8. Individual - a citizen of the United States or an alien lawfully admitted for permanent residence, who is the subject of a record.

9. Maintain - maintain, collect, use or disseminate a record.

10. Notification - informing an individual whether any agency system of records contains a record (retrievable by name or personal indicator) pertaining to him.

11. Person - any person who is not the individual that is subject of the record requested, including associations, corporations, partnerships, trusts, receivers, personal representatives, and public or private organizations.

12. Record - any single item, collection or grouping of information about an individual that is maintained by an agency. Uncirculated personal notes, papers, and records which are retained or discarded at the author's discretion and over which the agency exercises no control or dominion are not considered to be "records" maintained by the agency within the meaning of the Privacy Act.

13. Review - an independent examination conducted by the Administrator or his designee following an appeal of a refusal by the agency to amend a record.

12D

14. Routine use - the disclosure of a record without written consent to another person or agency for a purpose which is compatible with and related to the purpose for which it was collected. Routine uses must be published thirty days in advance of use.

15. System Manager - the AID official who sets the policy and procedures for maintaining a system of records and who is named in the AID Notice of the Systems of Records.

16. System of records - any grouping of records under the control of an agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

12E. Responsibilities

1. Employees of AID

All employees of AID, including contract employees, who operate AID systems of records have a personal responsibility for observing the provisions of the Act.

2. The Administrator

The Administrator is responsible for assuring that the spirit as well as the letter of the Act are applied. The Administrator:

a. Approves the publication in the Federal Register of (1) AID's regulations implementing the Act, (2) notices of existence and character of the systems of records maintained by AID, (3) rules and notices that identify general or specific exemptions, and (4) notices of routine uses.

b. Receives appeals under the Act for review of refusal by AID to amend a record and conducts the review, either in person or through his designee.

3. General Counsel

The General Counsel (GC) advises the Administrator and other AID officials on all matters involving interpretation of the provisions of the Act.

12E

4. Privacy Officer

The Director, Office of Personnel and Manpower serves as AID Privacy Officer (PO) and is responsible for:

a. All administrative actions, policy decisions, and operations required for effective implementation of the Act in AID.

b. Issuing AID directives and procedures to apprise employees of their responsibilities under the Act and to train them in procedures established by AID to implement the Act.

c. Reviewing all decisions of refusal to amend records. Only the Director or his designee may deny any request for records, or requests to amend records.

d. Representing AID in a civil action brought against AID in matters relating to the Act.

5. Privacy Act Implementation Officer

The Privacy Act Implementation Officer (PIO) is responsible to the Privacy Officer for:

a. Recommending to the Privacy Officer appropriate action on requests for access, amendment of records and disclosure of information which action offices wish to refuse in whole or in part.

b. Preparing reports and advance notices pertaining to the Privacy Act for transmittal to the Office of Management and Budget, the Privacy Protection Study Commission and elsewhere as may be required.

c. Preparing the annual notice of systems of records and such revision of AID regulations, as required, for publication in the Federal Register, considering proposals for the establishment of any new systems of records to assure consistency with the provisions of the Privacy Act, and recommending appropriate action to the Privacy Officer.

12E5

d. Providing guidance to and interpretation of the Act and OMB regulations for the Privacy Liaison Officers and reviewing their operations as necessary to insure effective implementation of the Act.

e. Establishing a program for the periodice review of AID record keeping policies and practices to assure compliance with the Act.

f. Reporting any potential violations of the law to the PO with recommendation for appropriate action.

6. Privacy Liaison Officer (Washington)

a. The Privacy Liasion Officer (PLO) is the designee to receive requests made under the Act by individuals in person or in writing and to verify the identity of such individuals.

b. Manages a reception office and reading room where requesters may be given access to AID records about them and examines records made available in response to a request.

c. Records all requests made under the Privacy Act received in AID/W, assigns action to appropriate offices within AID/W and overseas posts, reviews their actions in responding to such requests, bills the requesters for services rendered as required, and maintains a file system of correspondence and documents generated by the Privacy Act.

d. Examines records received from file custodians prior to release to the individual to determine whether they contain any documents not normally releasable to the individual, such as (1) classified material, (2) records wholly or partially exempt from access by the requester under the provisions of the Privacy Act, and (3) records containing personal information concerning an individual other than the requester. The PLO makes the record available to the requester only after deletion of any portions exempted from disclosure for the above reasons.

7. Privacy Coordination Officers

Bureaus and Offices in AID/W are to appoint a coordination officer to provide a bridge between the PLO, the System Managers and the many records custodians in the Bureau or Office. Coordination Officers are to:

12E7

a. Assure that records custodians and supervisors are aware of and follow through on their responsibilities under the Privacy Act and under AID directives with regard to the disclosure of records and the accounting of disclosures.

b. Assist the systems manager or file custodian to:

(1) Examine records to verify whether they are accurate, timely, complete, and relevant to the AID functions they serve;

(2) perform the various actions required under the amendment and appeal procedures;

(3) initiate clearance of new and revise existing records systems requiring OMB and other clearances.

8. Privacy Liaison Officers (Missions)

The Privacy Liaison Officer (PLO) in AID Missions and offices abroad, is the principal administrative officer (Executive Officer or equivalent) and is to be so designated by the Mission Director or head of the office. The PLO processes requests for access to records and to amend records. His functions are governed by the rules and procedures set forth in this Chapter and his responsibilities are similar to those of the PLO in AID/W. He also approves local forms and establishes procedures as necessary. He assists file custodians in disclosure and amendment procedures.

9. Manpower Development Division (SER/PM/MD)

The Chief of PM/MD is responsible for conducting training for all Agency personnel including overseas personnel who are in any way involved in maintaining systems of records to apprise them of their responsibilities under the Act and to indoctrinate them with respect to procedures established by the Agency to implement the Act.

10. Contract Officers

Contract Officers review all AID contracts which provide for the maintenance of systems of records by or on behalf of AID to accomplish an AID function to assure that, where appropriate and within the Agency's authority, language is included which provides that such systems will be maintained in a manner consistent with the Act.

12E

11. Systems Analysts and Management Analysts

In developing or designing a system of records to accomplish an AID function, analysts are to insure that information requested is necessary to the functions to be served, that it is collected to the greatest extent possible from the individual to whom the record pertains and that safeguards are provided to assure that such systems will be maintained in conformance with the Act.

12. System Managers

System Managers are to assure that records maintained under their supervision conform to the provisions of the Act and, specifically, to the published AID Notice of Systems of Records. They also take necessary actions to refine their systems of records to eliminate unnecessary records and to assure accuracy and consistency. They initiate proposals for establishing new systems and for revision of existing systems for approval by the Privacy Offices. They are to assure the completeness of the annual review of systems of records leading to Agency publication of a notice.

13. File Custodians

File Custodians are to assure that physical, procedural, and technical safeguards are observed and maintained in operation; that disclosures are made internally only to employees and officers with a need to know and made externally only when proper authority is evident; that all disclosures requiring accounting are properly recorded; and that records are maintained so as to be complete, accurate and timely.

14. Records Management Office (SER/MO)

Is to inspect the operations of the File Custodians throughout the Agency as necessary to assure compliance with AID procedures and offer guidance and other assistance needed to assure that adherence to the regulations is maintained.

12F. Rules of Conduct

1. General

The general personnel policies concerning employee responsibilities and conduct are contained in Handbook 24, Chapter 3. These policies include guidance for ethical conduct, outside employment, use of government property, financial interest, conflicts of interest, disclosure of classified information and misuse of information.

12F

2. Privacy Act of 1974

The Act (Appendix A) imposes additional responsibilities upon all employees and specifically requires that agencies "establish rules of conduct for persons involved in the design, development, operation, or maintenance of any system of records..."

a. All AID Employees

All AID employees should be aware of the public trust placed in them to insure the confidentiality of personal information and to safeguard personal information from willful or negligent disclosure. This public trust involves physical and procedural protection, as well as the responsibility to report any known unauthorized disclosures. AID officers and employees will request to review records containing personal information only on a "need-to-know" basis and for official purposes of AID.

b. AID Employees Involved in the Design and Development of Systems of Records

Employees who design and develop systems of records are to determine whether personal information requested is necessary to the AID function it is to serve and to establish the fact that the Agency has the authority to collect the information before proceeding with development and design. When structuring information flow, employees are to design procedures so that personal information is obtained directly from the individual to the extent possible and that he or she is informed as to the purposes and uses of the information, the authority for collection and the effects on him or her of not providing the information. They are further to insure that personal information in the system will have the necessary physical and procedural safeguards to insure privacy and that necessary procedural reviews and checks are built in to insure accuracy, completeness and timeliness of the information. Before final approval and turning a system over to the systems manager for operation, design and development analysts are to assure that the system has been aproved by OMB and published in the F.R.

c. AID Employees Involved in the Maintenance and Operations of Systems of Records

AID Employees are to operate and maintain only approved and published information systems and to obtain approval from OMB for any revision of a system that increases the kinds of personal information collected or the uses made of it.

12F2c

System operational and maintenance personnel are to verify the need to know before releasing information to AID employees, to act only on appropriate authority for the disclosure of information to persons and agencies outside A.I.D., verify the identity of the requester, and to keep accurate and complete accounting of disclosures, as required by AID procedures.

When considering requested amendments to records and as a basis for decision, AID employees are to make every reasonable effort to ascertain the true facts relating to a request for amendment. When an amendment has been approved, AID employees are to assure that only the approved change is entered in the record, and that prior users are informed of the change. They are to provide for physical security of the information entrusted to their custody at all times, including both working and non-working hours.

12G. Penalties, Civil Remedies, and Sanctions

1. The Privacy Act establishes that the knowing and willful disclosure of material whose disclosure is prohibited by the Act or willful maintenance of a system of records without giving the public notice required by the Act is a misdemeanor, and any AID officer or employee so convicted can be fined up to $5000. Similar penalties apply to any person who knowingly or willfully requests or obtains any record concerning an individual under false pretenses.

2. Intentional disclosure of protected information subjects the discloser to the penalties. Employees must be aware of the possibility that if a case is eventually tried by the courts, disclosure owing to gross negligence might subject them to conviction for a misdemeanor and a fine. For example, failure to safeguard personnel files upon leaving an office known to be accessible to unauthorized persons could be held by the courts to be gross negligence and thus willful disclosure. In any event, such negligence would be treated by the Agency in the same fashion as a security violation involving Limited Official Use material, and disciplinary sanctions would apply to repeated offenses.

12G

3. AID has surveyed all its records retrievable by name or personal identifier and has published in its Notices a description of all such systems of records authorized to be maintained by AID (Appendix 12C). Unless approved by AID and OMB and published in the F.R., no other Agency records are authorized to be maintained. There is, for example, no reference in any of the Systems of Records published in the Agency Notice to religious or political views or affiliation. Any officer or employee maintaining, collecting, using, or disseminating such information about any individual in the performance of his official duties would be subject to the criminal penalties.

4. AID may be sued under the Act by any individual for failure to amend a record; to give access to a record; to maintain accurate, relevant, complete, and up-to-date records; or to comply with any other provision of the Act. The court may assess against the United States court costs, attorney fees, other litigation costs and actual damages, with a minimum of $1000 to be recovered for damage. Presumably, the civil remedies and criminal penalties could be applied to the same offense, if, for example, a sensitive record about an individual were disclosed through the gross negligence of an AID employee.

12H. Public Rules and Notices of Systems of Records

1. The Act requires that AID establish and publish procedures to be used by members of the public to gain access to their records. AID procedures for notification, access and amendment are published in Agency Regulation 15 (22CFR Part 215), Appendix B. These are to be reviewed and republished annually in accordance with guidelines provided by GSA.

2. AID publishes in the Federal Register a description of each system of records it maintains. This includes systems where unlimited access is permitted by individuals to whom the records pertain as well as systems that are partially or totally exempted from access. All systems of records must be reviewed annually for necessity and relevance of the information they contain and their existence and character published. Notices of any new or revised Agency systems of records or new uses of records must be published in the F.R. 60 days before their intended use to allow 30 days for public comment.

12I. Exempted AID Systems of Records

1. The Privacy Act permits agency heads to exempt certain information from some of the provisions of the Act. The existence and nature of the exempted records must, however, be made public and the reasons for the exemptions set forth in the published description of each exempted system of records. Appendix C contains, for each exempted system, a brief statement of the nature of and justification for the exemptions.

2. For guidance of AID officers and employees in carrying out their responsibilities in conformity with the Privacy Act and in making requests for records about them, the nature of exemptions granted is summarized below:

a. General Exemptions

The only AID system of records covered under the general exemption is System AID 9, Criminal Law Enforcement Records maintained by the Office of Inspections and Investigations (AG/IIS). The general exemption has been applied because the principal function of that office consists of activities pertaining to the enforcement of criminal laws. The exemption will not necessarily be invoked by AG/IIS on all records it maintains; and a determination will be made in each case when information is requested by an individual. (See Appendix C for the full text of the justification summarized above.)

b. The Specific Exemptions

The effect of the specific exemptions is that the source of information may be deleted or otherwise made unrecognizable but the substance of the information in a record must be supplied if it would adversely affect an individual.

Specific exemptions apply to the following systems of records:

AID -9 Criminal Law Enforcement Records

The specific exemptions will be applied if the general exemption should be held by a court to be invalid.

AID -8 Personnel Security and Suitability Investigatory Records

12I2b

AID -10 Employee Relations Records

AID -11 Employee Conduct and Discipline Records

AID -23 Employees' Equal Employment Opportunity Complaint Investigatory Records

AID -26 Litigation Records

A description of these systems, including the reasons for exempting the system, can be found in Appendix 12 C to this Chapter.

c. Procedures Applicable to Exempted Systems:

(1) It is AID policy to invoke exemptions only when necessary and only for those parts of records which require protection. The exemption is not intended as a blanket authority to deny access to records.

(2) When an individual asks whether AID maintains a record about him, the exempted records will be searched in the same fashion as nonexempt records, and the individual will be informed whether a record exists, unless the systems manager determines that there is compelling reason,under the exemption, to deny information about the existence of a record.

(3) When an individual requests access to an exempted record, the system manager sends to the PO through the appropriate PLO a recommended reply, together with a justification in the event of a denial. If the PO does not find adequate justification for a denial in either of the above cases, he consults with the system manager.

(4) As a general rule, AID attempts to provide access to records falling under the specific exemptions by deleting confidential sources or by editing to preserve the substance of a record, unless there is a compelling reason concerning foreign policy, national defense, protection of the President, or protection of the criminal law enforcement or investigatory process for denying access.

12J. Disclosure of Personal Information

1. Disclosure without Consent

Disclosures of personal information without the consent of the individual to whom the record pertains are provided for in the Act. These disclosures must always be compatible with and related to the purposes for which the information is collected and maintained. Such disclosures include:

a. Within AID and the Department of State

Officers and employees of AID may have access to and use records that contain personal information as is necessary to perform their official duties. No accounting of such disclosures is kept. Records systems managers and custodians must be assured that the officers or employees have a "need to know" before providing them access to records. Records may also be disclosed to officers and employees of the Department of State on a need-to-know basis without keeping an accounting for disclosures, since AID is established within the Department of State by Executive Order.

b. Under Interagency Support Agreements

When one agency provides another agency with a service under an interagency support agreement, or other agreement, the transfer of personal information necessary to perform this service may be considered to be an intraagency transfer and similar to the use of information by the officers and employees of AID (e.g., the disclosure to AID of biographic information on a PASA employee from another agency or the disclosure by AID to the other agency of a performance evaluation on the PASA employee.)

c. Pre-established Routine Uses

Routine uses may be made of information contained in systems of records when the specific use has been established, described and published in the F.R. Such uses would be for the disclosure of information to other U.S. Government agencies, foreign governments, and persons.

12J1

d. Other uses permitted by the Act

(1) Disclosure to the Public

Records which have been traditionally in the public domain and are required to be disclosed to the public by other statutes may still be disclosed. However, AID may not voluntarily make public any record it is not required to release. For required disclosures to the public, reference should be made to the Freedom of Information Act (FOIA) (Chapter 10). AID may not use the FOIA as a basis for refusing access to a record by the individual to whom the record pertains.

(2) Disclosure to the Bureau of Census

Agencies may disclose records to the Bureau of Census, in a form in which individuals can be identified, for use by the Bureau of Census in planning or carrying out a census or a survey or related activities pursuant to the provisions of Title 13, U.S.C.

(3) Disclosure for Statistical Research and Reporting

AID, upon receipt from a person of a written statement which states the purpose for which records are requested and certifies that they will only be used as statistical records, may release the records only in such form that individuals cannot be identified. This means that the individual identifier must be stripped from the records so that the identity of an individual is not revealed and cannot be determined from tabulations of released information or by combining the released information with other information.

(4) Disclosure to the National Archives

Disclosure occurs when AID offers its records to the National Archives for evaluation to determine if their preservation in the Archives is warranted. Records which have been transferred to Federal Record Centers for storage until their retention periods have expired are considered to be records still maintained by AID. Federal Records Center personnel maintaining these records act on behalf of AID.

(5) Disclosure for Law Enforcment Purposes

Upon written request from any governmental jurisdiction within or under the control of the United States, AID may disclose records for the purposes of civil and criminal law enforcement activities authorized by law. The request is to

12J1d(5)

be made by the head of the requesting agency or a designee preferably above, but not below, the section chief level. The request must specify (a) the law enforcement purpose for which the record is requested and (b) the particular record requested. Blanket requests for all records pertaining to an individual are not permitted. When misconduct or violation of law is suspected and is related to the purpose for which a system of records is maintained, AID may take the initiative in disclosing the appropriate records to a law enforcement agency, since such a specific "routine use" has been established in the Notice of Systems of Records published in the F.R.

(6) Disclosure Under Emergency Circumstances

AID may disclose records on an individual without his or her consent provided that the time required to obtain the consent might result in a delay that could impair the health and safety of an individual and not necessarily the individual to whom the record pertains. However, upon disclosure for this purpose, a notification must be sent to the last known address of the individual to whom the record pertains.

(7) Disclosure to the Congress

Records may be disclosed to either House of Congress and to the extent of matters within their jurisdiction to any committee, subcommittee or joint committee of the Congress. Disclosures to Members of Congress acting in their individual capacity and at the request of a constituent are covered by a general AID routine use set forth in Appendix 12 C.

(8) Disclosure to the General Accounting

The Comptroller General and his authorized representatives in the performance of the duties of the GAO are permitted access to records.

(9) Disclosure Pursuant to Court Order

AID, upon receipt of a court order will disclose the records requested.

12J

2. Obtaining Permission of the Individual to Disclose His or Her Records

The office maintaining the record must obtain a written request from, or the written consent of, the individual to whom the record pertains prior to disclosing his or her records if the exceptions cited in 12J1 above do not apply. It will not be assumed that the person concerned has given consent for disclosure of his record even though he may have been informed of the purposes for which the information would be used when it was collected. When AID requests the individual's permission to disclose information, care must be exercised to assure that the language is not coercive and that any consequences of refusing to consent are made clear but not so as to create the impression that granting consent is a prerequisite to obtaining a benefit when it is not. AID will not seek a blanket or openended consent clause which will permit the Agency to disclose a record without limit. Individuals will be requested to give consent for the disclosure and the consent clause will state the general purpose for the disclosure and types of recipients. Appendix D, Format 1 Requesting Individual Consent for Disclosure may be used where applicable. Two copies of the form will be prepared and sent to the individual, requesting the return of one signed copy.

3. Validating Records Prior to Disclosure

Prior to disclosing a record to any person. the custodian of the record must take reasonable steps to assure himself/herself that it is accurate, timely, complete and relevant for agency purposes. The information concerning an individual must be as accurate as reasonably necessary to assure fairness by AID in making determinations about an individual.

4. Maintaining Record of Disclosure

a. Use of Form AID 490-4, Accounting for Disclosure

AID is required to maintain a record of all disclosures except disclosures made to officers and employees of AID and the Department of State on a need-to-know basis, transfers of information considered to be intraagency for purposes of

12J4a

services obtained through interagency service agreements, and disclosures required under the Freedom of Information Act. Form AID 490-4, Accounting for Disclosure, will be used to record disclosures. It is to be maintained as part of the system of records but may be filed in a folder adjacent to the records for convenience. Disclosures covering law enforcement activities. are to be entered on separate forms AID 490-4 to avoid their being combined with disclosure records to which the individual may have access. Appendix E1 is a sample copy of the form and instructions for its completion. Each disclosure recorded on Form AID 490-4 will be cross referenced to the record on which the disclosure was made and all incoming documents requesting disclosure and any letters or memorandums of consent provided by the individual will be filed behind Form AID 490-4. Cross referencing may be accomplished by entering a notation on the file "Disclosed to (name of person or agency) on (date)". When other documents from which a disclosure record may be constructed are routinely maintained, e.g. the payroll, a separate disclosure record need not be maintained for that system of record. Where two agencies must maintain a continuing dialogue involving disclosure over weeks or months, a notation will be made on Form AID 490-4 of the day such contact was initiated and state that it will continue until the case is concluded. Small AID "record systems" have been consolidated into comprehensive agencywide systems of records and AID/W offices have been designated as the system manager for each of the consolidated systems. Such systems have many custodians each with a small group of records located in a Bureau, Office or Mission. For such systems, each custodian maintains records of disclosure.

b. Retention of the Record of Disclosure

Bureaus, Offices and Missions using Form AID 490-4 or another document which serves as a record of disclosures will maintain them in active file status as a part of the system of records. Upon destruction or retirement of a group of records or of records that have been disclosed, the record of disclosure, Form AID 490-4, will be maintained for at least five years after the last disclosure, or for the life of the records disclosed, whichever is longer. Should a record system be discontinued and the records disposed of, the record of disclosure, Form AID 490-4, must be withdrawn and retained in active file status in the former office of record for the five-year period from the latest disclosure.

12J4b

When records of disclosure are retired together with a group of records, with a normal retention period of longer than five years, the disclosure record will remain with the system of records. Should the normal retention period be shorter than five years, the record of disclosure will be withdrawn and retained in the office of records for the 5-year period.

5. Utilization of the Record of Disclosure

a. Making the Record of Disclosure Available to the Individual

AID must make available to the individual the disclosure record when requested, except for disclosure records maintained separately on disclosures made from records systems exempted from access by the individual and for disclosures made for law-enforcement purposes.

b. Informing Prior Recipients of Corrected or Disputed Records

When AID corrects a record through detection of an error or as a result of a request by the individual to amend the record or files a statement of a dispute and Agency summary of reasons, the file custodian further ascertains whether the corrected portion was, in fact, disclosed after September 27, 1975, or may be relevant to information that was disclosed. In such a case, the file custodian transmits to the prior recipients a corrected text of the record or a copy of the statement of dispute. Copies of outgoing correspondence are filed together with the record of disclosure, Form AID 490-4.

6. Assistance in Making Decisions Relevant to Disclosure of Records

The file custodians will receive requests directly from persons and other U.S. Government agencies to disclose records in their possession. Requests from the individuals for access to their records will be received through the PLO. File custodians, while trained in responding to such requests may require assistance on individual cases. Assistance in AID/W is available from the Privacy Coordination Officer designated by each bureau or office or from the PLO. In offices abroad the PLO will provide this assistance.

12K. Normal Administrative Services to Employees

The usual administrative services rendered to employees before passage of the Privacy Act will be maintained to the extent possible and consistent with the Act, so as to make information available to employees without the need to resort to the formal procedures under the Privacy Act.

1. Accommodating Routine Requests

There are many examples of such existing services. The Employee Services Division of the Office of Financial Management (SER/FM/ESD) responds on a daily basis to numerous requests for information such as duplicate copies of Form W2, employee earnings history, records of leave or leave audits, retirement contributions, health benefits, savings bond accumulations, etc. Similarly, the Personal Services Division of the Office of Personnel and Manpower (SER/PM/PSD) and other units within SER/PM make available routinely to employees information from their personnel records, such as date of most recent promotion, copies of personnel actions, and the personnel evaluation file.

2. Identification Requirement

Subject to the requirement of the Act to identify the requesting individual beyond reasonable doubt, AID will continue to provide the personal services to employees of the type illustrated above. Telephone inquiries are not precluded so long as the file custodian can establish to his satisfaction the identity of the requesting individual, either through personal recognition of the requester's voice or through verification by means of a return call to a third party who can attest to the caller's identity. The provision of information will, obviously, be simplified if requests are made in writing or in person. The decision to provide information is to be made by the file custodian. In the case of doubt as to the identity of an individual, the custodian should refer the requester to the PLO.

12K

3. Requests for Information From Outside AID

Information may be provided to a person or entity outside AID only:

a. With the written consent of the individual or

b. Under the routine use provisions contained in the AID Notice of Systems of Records or

c. As otherwise provided in the Act. The Notice of Systems of Records concerning personnel records (Systems AID-01 and 02) establishes the routine use of information: "to Financial and Credit Institutions for loan and credit reference purposes solely to verify the employee's name, employment with AID, dates of employment and pay grade." AID employees are cautioned only to verify the above information when it is read to them by a member of the financial or credit institution and are not to volunteer any additional information. Individuals (who are employed by AID) seeking credit must themselves provide personal information directly to credit institutions. AID is not required to provide any information unless specifically requested in writing to do so by the individual seeking credit.

12L. Operating Procedures for Notification, Access, Amendment, Review, and Filing Statement of Disagreement

1. Notification of the Existence of a Record

An individual who believes that AID maintains a record on him or her is expected to provide sufficient information to assist AID in locating the record. Requests may be made in writing or in person. When AID has determined whether the record is maintained, the PLO will notify the requester of the existence or non-existence of the record.

12L1

a. Information Provided by the Requesting Individual

The requester is expected to provide his name, place and date of birth at a minimum when requesting AID to search for a record. In order to facilitate the search, particularly for retired records, the requester is also asked to provide his or her Social Security Number (SSN) and dates and places of service. Retired Civil Service records are retrieved only by SSN. Should an individual refuse to provide a SSN when requesting a record retrievable only by that number, the AID file custodian, nevertheless, attempts to use any normally available alternative means to search for and identify the record. Should a record still not be found, the requester is so informed, given an explanation of the search method used in lieu of the use of the SSN, and is given an opportunity to furnish the SSN. The Act prohibits the denial of any right, benefit or privilege provided by law because a requester refuses to disclose his or her SSN.

b. Where Requests May be Submitted

Requests concerning existence of a record on an individual are to be directed to the PLO in AID/W or the appropriate PLO in offices abroad.

(1) Requests in Writing

Requests in writing for records maintained in AID/W are to be directed to:

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

Requests in writing for records maintained in offices abroad are to be addressed to the PLO at the addresses given in Appendix 12 B - Addresses of AID Offices Abroad.

(2) Requests In Person

For records believed to be in AID/W, the requester may meet with the PLO at the following address:

12L1b(2)

Director, Office of Personnel and Manpower
(SER/PM)
Agency for International Development
Rosslyn Plaza, Room 105
1601 North Kent Street
Arlington, Virginia

When the requester is in a country abroad and believes his or her record is also in the same country, the requester may present the request in person to the PLO of the AID Mission or office abroad. The locations of these offices appear in Appendix 12B.

c. Preparing Form 490-3, Privacy Act Information Request

When requests are received in writing, the PLO completes form AID 490-3, which is a 5-part form. When the request is made in person by the individual, he or she is requested to complete the form.

d. Utilization of Copies of the Form

(1) The original of the completed form AID 490-3 is used by the PLO to establish a case file on the requested action by name of requester.

(2) The second copy of the form is used to provide an acknowledgement to the requester that his request has been received and is being processed. If sufficient information was not received with the initial request this copy may be used to obtain additional information.

(3) The third copy is used for final response to the request. This copy is sent to the requester upon completion of the search, and states the results of the search.

(4) The fourth is kept in a suspense file by anticipated final response date. When action is completed, the copy is updated to record final action. It is then sent to the Privacy Implementation Officer for later use in preparing the annual report to OMB.

(5) The fifth copy is used to request the system manager or file custodian to make a search for the record.

12L1

e. Completing the Case File

When the requester is notified of the existence or non-existence of a record, the original form 490-3 is updated and the case file folder is sent to an inactive file for future use if the individual decides to proceed to further action.

2. Access to Records

a. Individual's Right to Access

A requester who knows or has been notified that AID does, in fact, have a record on him or her may see the record in person or be provided a copy by mail. The requester is not required to state a reason or otherwise justify the need to gain access.

b. Requests for Access in Person

Requests to see the record in person are made to the PLO either in AID/W or in AID offices abroad (addresses are contained in Appendix 12 C.)

(1) The requester completes form AID 490-3, Privacy Act Information Request, and provides any additional information needed to help the file custodian retrieve the record. Should the requester wish another person to accompany him or her while reviewing or discusssing the record, a written statement (see format; Appendix 12D-2) signed by the individual is to be attached to the forms.

(2) The PLO determines the identity of the individual by examining commonly carried identification documents; e.g., a driver's license, building pass, employee identification card, medicare card. If the requester cannot present suitable identifying documentation, he is asked to complete and sign a Statement of Identity contained on form AID 490-3. No verification of identity is required of requesters seeking access to records which are otherwise available to members of the public under 5 U.S.C. 552, the Freedom of Information Act (Chapter 10).

(3) Where feasible, the PLO requests the record by telephone and the file custodian immediately hand-carries it to the PLO for release to the requester. Otherwise, the PLO determines from the appropriate file custodian when it can be forwarded to his office. A delay in the release of the record may be necessary if the record must be excerpted to prevent disclosure of information about other

12L2b(3)

individuals or to expunge a confidential source, or if the record requires translation from computer codes to a comprehensible form. However, these processes are not to be used as an excuse to withhold information. When there is a delay, arrangements are made with the requester to review the record at a later time and/or date and he or she is given the second copy of form AID 490-3 which has the date recorded thereon.

(4) A case file is established and other copies of form 490-3 are utilized in accordance with procedures contained in 12L1d. If there is a complete notification case file on the requester, it is brought forward to house the new request. If access is granted immediately, the same documentation is still created and processed as described below.

(5) The PLO, prior to the release of the record to the requester, verifies that the record is about the requester, that it does not contain information about other individuals or reveal confidential sources, does not contain any classified information to which the requester would not normally have access, that none of the documents in the record are copies of documents contained in records exempted from access by the Administrator, and that it is in comprehensible form.

(6) After reviewing the record, the PLO releases the record to the requester and any accompanying person for use only under supervision, to prevent any unauthorized altering of the record.

(7) Upon return of the record to the PLO, the requester is given the third copy of form AID 490-3 completed to show that he was granted access.

(8) Upon request, the requester may be provided with one free copy of his record or extract thereof. Any additional copies requested by the individual are provided upon payment the fees set forth in 12L2h.

c. Requests for Access through the Mail

(1) Requests to obtain a record through the mail should be accompanied by sufficient information to identify the record, have attached a signed notarized statement to verify the requester's identity and stipulate that the requester understands that knowingly or willfully seeking or obtaining access to records about another individual under false pretense is punishable by a fine of up to $5,000. The PLO in AID/W or at AID offices abroad records the request on form AID 490-3, establishes a case file, and utilizes copies of the form in accordance with procedures contained in 12L1d.

(2) The PLO requests by telephone that a copy of the requester's record or appropriate extracts be forwarded, if possible, to his or her office for release to the requester and follows up the telephone call by sending the fifth copy of form AID 490-3 to the file custodian.

(3) Should the individual's request not contain sufficient information to identify the record, the file custodian asks the PLO to obtain additional identifying information from the requester. Should the request not be accompanied by a notarized statement, the PLO determines whether the record exists, and that it is not exempted from access before asking the requester to provide the notarized statement. Should the individual ask for more than one copy of his or her records, and not provide payment, the Privacy Liaison Officer after determining that the record does exist, and the number of pages, asks the requester to provide the reimbursement for copying. In any of the above situations requiring written communication with the requester, the second copy of form AID 490-3 is used to request the individual to provide the additional identifying information or documents.

(4) When the PLO finally receives the copy he or she examines it as required in 12L2b(5) prior to release.

(5) When satisfied that the copy of the record or extracts are releasable and the notarized statement of identity and appropriate reimbursement have been received, the PLO completes the third copy of form AID 490-3 showing that access has been granted and uses it as a forwarding memorandum to transmit the copy of the record or extracts to the requester. The record and the form AID 490-3 are to be mailed to the requester by U.S. Registered Mail with return receipt requested. If foreign governments' mail systems are used by AID offices abroad, an equivalent service is used.

d. Completing the Access Transaction

When the record has been returned to the System Manager or file custodian and the copy of the record or extracts mailed to the requesting individual, the case file is completed in accordance with procedures in 12L1e. Any reimbursements for services are immediately (same day) turned over to an AID fiscal officer designated to receive money for the U.S. Treasurer.

e. Time Frame for Granting Access

(1) When a request is in person, access to records is granted, if possible, while the individual is in the office of the PLO, and not later than ten working days following the request.

(2) Requests to the individual for needed documents (notarized statement or payment for copies) or additional information is made by return mail or within two working days.

(3) A copy or an extract of the record when requested by mail is to be forwarded to the requester within 10 working days from the date of the receipt of the request. When access cannot reasonably be granted within 10 working days, the PO or PLO acknowledges in writing the receipt of the request for access and indicates a reasonable time within which access will be granted. Sufficient cause for such delay might be that the record is inactive and stored in a records center or is located at a post abroad. All requests for access must be completed within 30 days.

f. Factors Limiting the Accessibility of Records

(1) The Act does not require that a requester be given access to information which AID does not retrieve by reference to his or her name or some other identifying particular.

(2) If an individual is named in a record about someone else (or some other entity), AID is not required to grant access unless crossreferencing systems have already been established.

(3) Neither the requirements to grant access nor to provide copies necessarily require that the physical record itself be made available. Information pertaining to the requester may be extracted from the record when, for example, the information is maintained on a computer tape, or

access to the record would disclose information about other individuals or reveal confidential sources. However, the requested record should, whenever possible, be made available in the form actually maintained.

g. Information is to be Readily Understandable

When a copy of the actual record is provided the requester, codes and abbreviations should be written in full on the actual copy or provided as an attachment. Codes and abbreviations should be avoided altogether when extracts are provided the individual.

h. Fees

No fees are charged for providing the first copy of a record or any portion thereof to individuals to whom the record pertains. For copies requested by other persons and additional copies requested by the individual, a fee of $.10 a page (8 1/2 X 14 or smaller) is charged. Remittance is to be in the form of a check, bank draft on a bank in the United States, or postal money order, made payable to the Treasurer of the United States or in cash.

i. Medical Records

Medical records maintained by AID comprise only the abstracts of physical examinations; the individual has unconditional access to these records. Medical records are maintained by the Department of State and requests for access to such records is granted in accordance with Department of State regulations governing Communications and Records (Volume 5, Foreign Affairs Manual, Section 400).

j. Granting Access to Records in AID Offices Abroad

(1) AID Missions grant access to records maintained locally and maintain files documenting access transactions as described above. Should a PLO in a Mission propose to deny access to a record, he communicates the situation to the Privacy Act Officer (SER/PM) and asks through the Mission Director for verification of his action or for guidance.

(2) The PLO in an AID office abroad may receive in person a request for AID/W records from resident individuals. This request is forwarded without recording it to the AID/W PLO. If the requester has appropriate identification, the PLO abroad verifies the identity of the requester and adds a statement to this effect to the request.

3. Amendment of Record

In the normal course of AID operations there are frequent amendments to records containing personal information such as: the change of an individual's address, the change in the number of dependents, and the annual review and updating by the employee of the data maintained in the Employees' Automated Record System. Such changes are made without the need to invoke the procedures of the Privacy Act. The formal procedures for requesting amendment of a record under the Privacy Act are set forth below:

a. Request for Amendment in Writing

AID requires that a request to amend a record be made in writing. The request is to set forth the following information or its equivalent:

(1) Identification of the system of records in which the record to be amended is maintained,

(2) Identification of the specific record or portion(s) of the record to be amended or corrected,

(3) The desired amendment or correction,

(4) The reason for requesting the amendment or correction,

(5) Accompanying information, documentation, and other evidence to support the request for amendment.

If the request is received in other than the above format, it is not to be rejected or returned for correction without instructions for making it acceptable. The PLO's in AID/W and offices abroad are to assist the individual in drafting the request in an acceptable form.

b. Submission of Request

The individual may mail or deliver the request to the PLO at the address contained in Appendix 12B. When the PLO receives a request delivered in person, he or she or a staff member reviews the request while the individual is still present in order that any needed clarification may be obtained. Procedures contained in 12L2b(2) and c(1) for verification of the identity of the individual are followed to prevent the inadvertent or intentional alteration of the record of other individuals.

12L3

c. Processing the Request

(1) The PLO records the request by completing form AID 490-3, Privacy Act Information Request, establishes a case file and utilizes copies of the form as in 12L1d.. If a case file folder exists from a prior access transaction, it is moved to the active portion of the file to house the new documentation.

d. Examination of the Request to Amend a Record

(1) The Systems Manager and/or head of the functional area involved (hereafter known as the "responsible officer") examines the request to determine whether a decision can be reached within a 10 - day period from receipt of the request. If a decision cannot be reached within that time he or she advises the PLO when a decision can be expected so that the PLO may acknowledge receipt of the request.

(2) The responsible officer determines whether the proposed amendment can be accepted in full or in part or must be refused. The examination includes an assessment as to the accuracy, relevance, timeliness, and completness of the record. The amendment can be considered only on the basis of the updated record. When information is requested to be deleted, the responsible officer must determine whether the information is relevant and necessary to accomplish the statutory purposes of AID or is required to be maintained by law or executive order of the President. Alterations may not be made of evidence presented in the course of judicial, quasijudicial or quasilegislative proceedings through the procedures of the Privacy Act. Such alterations can be made only through the established procedures consistent with the adversary process.

(3) If it is decided to amend the record in full, in part, or to refuse to amend the record altogether, the responsible officer must take the necessary action with regard to the record and inform the PLO of his or her actions. Where the decision is to amend or delete the record in part or in full, the amendment or deletion is made immediately and any persons to whom the record has been disclosed (where an accounting has been made) is informed of the action:

12L3d(3)

(a) Decision to Amend or Delete the Record in Full

Where there is agreement to amend or delete the record as requested, the responsible officer will inform the PLO of his or her decision by memorandum, enclosing a copy of the amended record and a list of persons to whom the record has been disclosed with a copy of the correspondence sent to them informing them of the amendment.

(b) Decision to Amend or Delete Part of the Record

The responsible officer follows the above procedures for that portion of the record on which there is an agreement to amend or delete. He or she follows the procedures below for that portion of the record on which there is a refusal to amend or delete. Both actions, however, are to be included in the same memorandum to be sent to the PLO advising of the decision.

(c) Refuses to Amend or Delete the Record

The responsible officer must state by memorandum to the PLO the reason for a refusal to amend or delete the record and include the criteria used for determining the accuracy of the record as it exists.

e. Actions Required of the Privacy Liaison Officer

During the process of examination and decision by the responsible officer, the PLO is the sole communication link with the requester. He may be required to perform some or all of the following actions:

(1) Obtaining Additional Clarification from the Requester

Should the responsible officer need additional clarifying information, he or she obtains it through the PLO. Copies of outgoing and incoming correspondnce are included in the case file with the originals going to the requester or the principal action office.

(2) Acknowledgement of Requests to Amend the Record

If notified by the responsible officer that a decision cannot be reached within 10 days, the PLO acknowledges

12L3e(2)

receipt of the request. A letter or memorandum is used for this purpose and the second copy of form AID 490-3 is appended. The requester is advised in the letter or memorandum when to expect action to be taken.

(3) Examination of the Decision and Notification

(a) The PLO will examine the decision made by the responsible officer. If the decision is to amend or delete the record as requested and it appears to have been made correctly, the PLO, by letter or memorandum (enclosing the third copy of form AID 490-3) so informs the individual of the decision.

(b) If the decision is to partially amend the record, this decision must be examined and concurred in by the PO. The AID/W PLO will present his or her case directly to the PO. PLO's in AID offices abroad will seek the PO's review through exchange of telegrams or memoranda. The PO may wish to consult with the responsible officer to encourage a different decision or to overrule. After receiving concurrence of the PO, the PLO informs the requester by letter or memorandum of the decision and advises the requester what portions of the record AID agrees and/or refuses to amend. In the case of any partial or complete refusal to amend, the PO informs the requester of:

(1) The reason for the refusal to amend or partially amend the record,

(2) Criteria for determining the accuracy of the record as it now exists.

(3) AID's procedure for requesting a review of the refusal to amend the record, including the address of the AID Administrator who will serve as or as designate the Reviewing Officer, and offer the assistance of the PLO in preparing the request for review.

The letter or memorandum is sent to the requester by U.S. Registered Mail with return receipt requested, or an equivalent service.

12L3

f. Time Frame for Amendment or Refusal to Amend a Record

(1) The PLO attempts to obtain a decision on a request to amend a record within 10 working days from the date of the receipt of the request, particularly when it is likely AID will agree to amend the record. Should actions be taken during this time period, no written acknowledgement of receipt is made by the PLO. When the PLO is advised that the decision will take longer than 10 days, he sends a written acknowledgement within the 10 day period.

(2) Except for unusual circumstances, such as when AID must obtain retired records or records from another agency, AID completes actions on all requests for amendment and deletion within a 30 day period. All cases on which AID was unable to act within 30 calendar days are included in the annual report to OMB, the President and the Congress.

g. Completion of the Amendment Transaction

After the dispatch of the letter or memorandum to the requester, the PLO closes the case file in accordance with procedures in 12L1e.

4. Appeal for Review of AID's Refusal to Amend or Delete a Record

a. A requester who disagrees with the refusal of AID to amend or delete his or her record completely or partially, may file a request for review of such refusal within 60 days after the date of notification of the refusal. The request for review must be in writing and addressed to:

Administrator
Agency for International Development
321 "C" Street, NW
Washington, D.C. 20523
ATTENTION: Executive Secretary
Privacy Review Request

Both the envelope and letter should be clearly marked:

ATTENTION: Executive Secretary Privacy Review Request

Such request should include a statement of the original request and any documentation, information, or statements advanced in support thereof, and a copy of the notice of the initial adverse determination.

12L4

b. Delegation of Authority to Review Request

The AID Administrator may personally undertake an independent review of the refusal or may designate a Reviewing Officer to conduct the review. For this purpose the officer designated must be organizationally independent of or senior to the officer or employee who made the initial determination not to amend or partially amend the record. The delegation of this responsibility must be made to the officer in writing.

c. Conduct of the Review

(1) The Administrator or the officer designated must again establish if the record to be amended is relevant and necessary to AID functions and that the information it contains is accurate, timely, and complete for the purposes the record serves. He or she may seek such additional information as deemed necessary to satisfy these criteria.

(2) The Reviewing Officer may have access to any information within AID that may bear on the case. The reviewing officer must complete his review within 30 days unless the Administrator decides that a fair and equitable review cannot be completed in that time. Should this occur, the reviewing officer is to inform the individual in writing of the reasons for the delay and the approximate date when the review will be completed. AID must include the number of cases of reviews not completed within 30 calendar days in the annual report made by AID to OMB.

d. Reviewing Officer's Decision to Amend the Record

If the decision of the Reviewing Officer is to amend the record, he or she so informs the requester by letter, sent registered mail, with return receipt requested. The Reviewing Officer, by memorandum, orders the record to be amended by the appropriate responsible officer. He or she also instructs the appropriate PLO to review the actions taken.

e. Reviewing Officer's Decision Not to Amend the Record

Should the Reviewing Officer refuse to amend the record in accordance with the individual's request, the Reviewing Officer:

(1) Informs the individual of his or her right to file a concise statement of the reason for disagreeing with the decision of AID not to amend the record,

(2) Explains procedures for filing the statement of disagreement,

(3) Assures the individual that a copy of the disagreement will be furnished to prior recipients (where accounting of disclosure has been made after September 27, 1975) and subsequent recipients of the record, and

(4) Advises him or her of the right to seek judicial review of AID's refusal to amend the record, and

(5) Informs the PLO by memorandum of the action taken, attaching copies of documentation developed in the review process.

f. Completing the Case File

Although the PLO concerned has not been involved in the review process, he or she must enter the transaction into the system. This is done by completing form AID 490-3. If the decision is to refuse again to amend the record, the original copy and fourth copy are completed. The original is filed in the case file, and the fourth copy sent to the PLO. If the decision is to amend the record partially or completely, the fifth copy is sent to the responsible officer, as a reminder that the PLO must review the amendment when made. When the PLO is satisfied that the amendment has been properly made, the original and the fourth copy are completed and filed above.

5. Filing a Statement of Disagreement

a. Upon receipt of AID's final refusal to amend the record, the individual may file a concise statement of his or her reasons for disagreeing with the decision. This statement is sent to the PLO to whom the original request to amend the record was sent. The PLO upon receipt of the statement, prepares form AID 490-3 and sends the fifth copy to the responsible officer accompanied by the original of the statement, and files the original copy of form AID 490-3 and copy of the statement in the case file originated in the amendment transaction. The responsible officer decides whether AID should file a summary of the reasons for not amending the record. If a decision is made to file such a summary, it is cleared by the PLO prior to incorporation in the file.

12L5

b. The responsible officer is to insure that both the statement and the summary are made available to prior recipients of the disputed record where an accounting of disclosures has been kept after September 27, 1975 and to anyone to whom the disputed record or portion thereof is subsequently disclosed.

c. If the statement of dispute and AID's summary of reasons is not kept as an integral part of the records to which they pertain, then the record must be marked in such a way that the statement or summary will also be forwarded when the disputed portion of the record is to be disclosed or information on which this record has a bearing is being disclosed. For automated systems of records, the notation may consist of a special indicator on the entire record, or the specific part of the record in dispute.

d. The responsible officer provides the PLO by memorandum with copies of the annotated manual record showing the flagging procedure installed. In the case of automated records a printout of the master file showing the flagging data element is provided.

e. After assuring that the statement of dispute is effectively in place in the system of records, the PLO files the documents establishing that fact in the case file originally set up for the amendment transaction and moves the file folder to the inactive portion of the file. The fourth copy of form AID 490-3 is updated and sent to the PLO for the annual report to OMB.

12M. Physical, Procedural, and Technical Safeguards

The Privacy Act requires agencies to "establish appropriate administrative, technical, and physical safeguards to insure the security and confidentiality of records and to protect against any anticipated threats to their security and integrity which could result in substantial harm, embarrassement, inconvenience, or unfairness to any individual on whom information is maintained..." AID must thus protect personal information when it is stored, when it is in transit, and when it is being processed.

12M1

1. Physical Storage

Paper copies of personal information need to have adequate protection when stored to insure that they are not accessible to unauthorized persons during or after business hours. AID has determined that this physical storage security is to be the same protection accorded "Limited Official Use" material. This means that personal information must be given the protection of a 3-way combination lock after hours and constant personal custody throughout the business day. More detailed guidance on the safeguarding of "Limited Official Use" material can be found in Handbook 6, Chapter 3, Section 952.1.

2. Transmission

When personal information is being transmitted between two persons authorized to receive it, the material must either be entrusted to a distribution system which has security equivalent to that of the U.S. mails or hand-carried. The envelope container used to transmit documents containing personal information will be marked "Personal Information." Telegrams and airgrams containing personal information will include the caption "Personal Information" as the first line of the text. When personal information is being forwarded to the individual to whom it pertains the transmittal envelope or container, in addition to being marked "Personal Information" is marked "To be opened by addressee only." Any unauthorized person opening material so marked could be considered to have obtained personal information under false pretenses and could thus be subject to the criminal penalties of the Privacy Act. Particularly sensitive material, such as reports of security or criminal investigations, litigations, reprimands, etc., requires special handling of the same degree of security, at a minimum, as registered mail. It must be handcarried or transmitted through a messenger service with a system of receipts. Personnel evaluation files receive this treatment and are entrusted only to designated persons in each AID/W Bureau or Office or Mission or offices abroad who are responsible for their safe custody.

3. Technical Processing Safeguards

Material stored in or transmitted by electronic, photographic, or other nonpaper means (including voice telephone) must be protected by adequate safeguards to avoid inadvertent

12M3

or negligent disclosure. Computer transmission and storage is protected by passwords and secrecy keys to prevent unauthorized access to the system. Names of persons having access to the passwords are to be noted in an appropriate log to insure that a complete list of persons having access is maintained at all times. The password is changed as required to insure that no unauthorized persons continue to have access. Data processing areas are secured by combination locks and steel doors to insure that only authorized and recognized personnel are permitted to have access.

12N. Training

1. The Privacy Officer insures that training is conducted for all AID personnel who are in any way involved in maintaining (see Definitions, 12D) systems of records, apprises them of their responsibilities under the Act and indoctrinates them with respect to procedures established by AID to implement the Act. Preservice training is instituted on a continuing basis for these individuals.

2. A general orientation designed to introduce the major provisions of the Privacy Act and make individuals aware of their general rights and responsibilities is provided to all employees. All new AID/W and overseas hire employees are given Privacy Act instruction and information in the Agency's Employee Orientation Course conducted by SER/PM/MD.

3. Supervisors assure that all employees under their supervision are provided a general orientation. In addition those supervisors whose subordinates are in any way involved in maintaining systems of records covered by the Act are to assure that such individuals are thoroughly trained in AID procedures.

12O. Clearance of New Systems of Records with the Congress and OMB

1. Sixty days prior to the establishment of a new record system or the implementation of a change to an existing system AID must make a report to the Congress, OMB, and, for the period of its existence, the Privacy Protection Study Commission.

2. This requirement is to provide a basis for monitoring the development or expansion of agency record keeping acti-

1202

vities and to review trends in the use of personal information and the application of technology. A report is required for any change which:

a. Increases the number or type of individuals on whom records are maintained;

b. Expands the type or amount of information maintained;

c. Increases the number or categories of agencies or other persons who may have access to those records;

d. Alters the manner in which the records are organized so as to change the nature or scope of those records; e.g. the combining of two or more existing systems;

e. Modifies the way in which the system operates or its location(s) in such a manner as to alter the process by which individuals can exercise their rights under the Act; e.g., to seek access or request amendment of a record; or

f. Changes the equipment configuration on which the system is operated so as to create the potential for greater access; e.g., adding a telecommunications capability.

For controlled forms and reports and systems maintained on ADP equipment, SER/DM has continuing responsibilities for informing the PO of new systems or changes not normally reported by the initiating office.

3. Each AID organizational unit is responsible for insuring that the PO is informed of any new or revised "record," group of "records," or "system of records" it wishes to initiate at least 90 days before intended implementation. Further guidance will be available when received from OMB. In the interim, AID Bureaus and Offices report the need to revise present systems or create new systems to the PO by memorandum 90 days prior to anticipated implementation.

12P. <u>Design of Forms to Comply with Requirements of the Act</u>

1. The Act requires that a statement containing the following information appear on or be provided as separate attachment with each AID form which solicits personal information:

12P1

a. The authority which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary. This statement is to include the provision(s) in statute or Executive Order which authorize(s) collection, a brief title or subject of that statute or Order, and whether AID is required or is authorized to impose penalties for failure to respond.

b. The principal purpose(s) for which the information is to be used. This description must include all major objectives for which these forms are to be used in AID and particularly those purposes which are likely to entail determination of an individual's rights and benefits.

c. The routine uses which may be made of the information. This statement is to define how the information collected on the form is used and how is it relatable and necessary to the purposes described above.

d. The effects on the individual, if any, of not providing all or any of the requested information. The intent of this statement is to allow the individual to know the effects (beneficial and adverse), if any, of not providing any part or all of the requested information so that the person can make an informed decision whether to provide the requested information.

2. The Office of Data Management (SER/DM) in its normal forms analysis and design function provides assistance to AID/W offices in determining whether a given AID form requires the addition of such a statement and, if so, in drafting the statement. The PLO in Missions reviews all forms requesting personal information and assists drafters in preparing an adequate statement to be included on the locally designed form. Should additional guidance be needed, SER/DM also assists to the extent assistance can be provided by correspondence.

3. In instances where information of a personal nature is obtained in an interview and is recorded on any form used by AID personnel, the interviewer must provide the interviewee with a written statement including the above described information supplementing this, as necessary, with an oral explanation.

4. AID/W Bureaus and Offices and AID offices abroad are responsible for assuring that each AID form placed in use

12P4

which requires the addition of such a statement have attached a slip sheet specifically designed for the form which will be available from the AID Distribution Branch, SER/MO/PAV, AID/W. SER/DM should be consulted regarding any other forms which AID organizational components believe may require the addition of such a statement including non-AID forms used by the Agency such as Standard and Optional Forms, GSA and State forms.

5. When current supplies of an affected AID form are near depletion, SER/DM should be promptly advised to permit revision of the form to include the required statement thus obviating the need for the further use of a slip sheet. (HB 18, Part V, Chapter V, contains guidance on the revision of AID forms.)

12Q. Annual Review of Procedures and Submission of the Annual Report, Report Symbol W-490/2

1. OMB Circular No. A-108 of July 9, 1975, requires agencies to establish a program for perodically reviewing agency recordkeeping policies and practices to assure compliance with the Act. AID reviews its operating practices annually two months prior to the submission of its annual report to OMB on April 30 of each year.

2. During the period of review, AID evaluates its operating experience and gathers its statistics based on copy four of AID form 490-3, which is forwarded to the PIO after completion of each Privacy Act transaction by all PLO's. At this time procedures are reviewed for effectiveness and are revised to effect improvements.

3. While detailed guidance is yet to be issued, OMB needs by April 30 of each year the following information from all agencies in order to prepare the annual Report of the President to the Congress.

a. Summary

A brief management summary of the status of actions taken to comply with the Act, the results of these efforts, any problems encountered and recommendations for any changes in legislation, policies or procedures.

b. Accomplishments

A summary of major accomplishments; e.g., improvements in agency information practices and safeguards.

12Q3

c. Plans

A summary of major plans for activities in the upcoming year; e.g., area of emphasis, additional security measures planned.

d. Exemptions

A list of systems which are exempted during the year from any of the operative provisions of this law permitted under the terms of subsections (j) and (k), whether or not the exemption was established during the year, the number of records in each system exempted from each specific provision and reasons for invoking the exemption.

e. Number of Systems

A brief summary of changes to the total inventory of personal data systems subject to the provisions of the Act including reasons for major changes; e.g. the extent to which review of the relevance of and necessity for records has resulted in elimination of all or portions of systems of records or any reduction in the number of individuals on whom records are maintained. Agencies will also be requested to provide OMB with a detailed listing of all their systems of records, the number of records in each and certain other data to facilitate oversight of the implementation of the Act.

f. Operational Experiences

A general description of operational experiences including estimates of the number of individuals (in relation to the total number of records in the system) requesting information on the existence of records pertaining to them, refusing to provide information, requesting access to their records, appealing initial refusals to amend records, and seeking redress through the courts.

4. More extensive data will be requested on those cases where the agency was unable to comply with the requirements of the Act or OMB guidelines; e.g., access was not granted or a request to amend could not be acknowledged within prescribed time limits. AID's requirements for this report will be more firmly established when specific OMB guidance has been received.

12R. Mailing Lists

The Act prohibits agencies from selling or renting an individual's name and address unless such action is specifically authorized by law. This provision, however, is not to be construed to require the withholding of names and addresses otherwise permitted to be made public. The Act is not explicit as to whether names and addresses may be otherwise made public (given out free of charge). As a general rule, employees may provide addresses known to be in the public domain (e.g., when listed in telephone directories or other public documents). In case of doubt, the Privacy Coordination Officer or the PLO should be consulted and is to advise whether the individual's written consent is to be obtained.

Public Law 93-579
93rd Congress, S. 3418
December 31, 1974

An Act

To amend title 5, United States Code, by adding a section 552a to safeguard individual privacy from the misuse of Federal records, to provide that individuals be granted access to records concerning them which are maintained by Federal agencies, to establish a Privacy Protection Study Commission, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "Privacy Act of 1974".

Privacy Act of 1974. 5 USC 552a note.

SEC. 2. (a) The Congress finds that—

Congressional findings. 5 USC 552a note.

(1) the privacy of an individual is directly affected by the collection, maintenance, use, and dissemination of personal information by Federal agencies;

(2) the increasing use of computers and sophisticated information technology, while essential to the efficient operations of the Government, has greatly magnified the harm to individual privacy that can occur from any collection, maintenance, use, or dissemination of personal information;

(3) the opportunities for an individual to secure employment, insurance, and credit, and his right to due process, and other legal protections are endangered by the misuse of certain information systems;

(4) the right to privacy is a personal and fundamental right protected by the Constitution of the United States; and

(5) in order to protect the privacy of individuals identified in information systems maintained by Federal agencies, it is necessary and proper for the Congress to regulate the collection, maintenance, use, and dissemination of information by such agencies.

(b) The purpose of this Act is to provide certain safeguards for an individual against an invasion of personal privacy by requiring Federal agencies, except as otherwise provided by law, to—

Statement of purpose.

(1) permit an individual to determine what records pertaining to him are collected, maintained, used, or disseminated by such agencies;

(2) permit an individual to prevent records pertaining to him obtained by such agencies for a particular purpose from being used or made available for another purpose without his consent;

(3) permit an individual to gain access to information pertaining to him in Federal agency records, to have a copy made of all or any portion thereof, and to correct or amend such records;

(4) collect, maintain, use, or disseminate any record of identifiable personal information in a manner that assures that such action is for a necessary and lawful purpose, that the information is current and accurate for its intended use, and that adequate safeguards are provided to prevent misuse of such information;

(5) permit exemptions from the requirements with respect to records provided in this Act only in those cases where there is an important public policy need for such exemption as has been determined by specific statutory authority; and

(6) be subject to civil suit for any damages which occur as a result of willful or intentional action which violates any individual's rights under this Act.

88 STAT. 1896
88 STAT. 1897

SEC. 3. Title 5, United States Code, is amended by adding after section 552 the following new section:

5 USC 552a. **"§ 552a. Records maintained on individuals**

"(a) DEFINITIONS.—For purposes of this section—

"(1) the term 'agency' means agency as defined in section 552(e) of this title;

5 USC 552.

"(2) the term 'individual' means a citizen of the United States or an alien lawfully admitted for permanent residence;

"(3) the term 'maintain' includes maintain, collect, use, or disseminate;

"(4) the term 'record' means any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, and criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph;

"(5) the term 'system of records' means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual;

"(6) the term 'statistical record' means a record in a system of records maintained for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual, except as provided by section 8 of title 13; and

13 USC 8.

"(7) the term 'routine use' means, with respect to the disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was collected.

"(b) CONDITIONS OF DISCLOSURE.—No agency shall disclose any record which is contained in a system of records by any means of communication to any person, or to another agency, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains, unless disclosure of the record would be—

"(1) to those officers and employees of the agency which maintains the record who have a need for the record in the performance of their duties;

"(2) required under section 552 of this title;

"(3) for a routine use as defined in subsection (a)(7) of this section and described under subsection (e)(4)(D) of this section;

"(4) to the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13;

"(5) to a recipient who has provided the agency with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

"(6) to the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

"(7) to another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to the agency which

maintains the record specifying the particular portion desired and the law enforcement activity for which the record is sought;

"(8) to a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual;

"(9) to either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee;

"(10) to the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

"(11) pursuant to the order of a court of competent jurisdiction.

"(c) ACCOUNTING OF CERTAIN DISCLOSURES.—Each agency, with respect to each system of records under its control, shall—

"(1) except for disclosures made under subsections (b)(1) or (b)(2) of this section, keep an accurate accounting of—

"(A) the date, nature, and purpose of each disclosure of a record to any person or to another agency made under subsection (b) of this section; and

"(B) the name and address of the person or agency to whom the disclosure is made;

"(2) retain the accounting made under paragraph (1) of this subsection for at least five years or the life of the record, whichever is longer, after the disclosure for which the accounting is made;

"(3) except for disclosures made under subsection (b)(7) of this section, make the accounting made under paragraph (1) of this subsection available to the individual named in the record at his request; and

"(4) inform any person or other agency about any correction or notation of dispute made by the agency in accordance with subsection (d) of this section of any record that has been disclosed to the person or agency if an accounting of the disclosure was made.

"(d) ACCESS TO RECORDS.—Each agency that maintains a system of records shall—

"(1) upon request by any individual to gain access to his record or to any information pertaining to him which is contained in the system, permit him and upon his request, a person of his own choosing to accompany him, to review the record and have a copy made of all or any portion thereof in a form comprehensible to him, except that the agency may require the individual to furnish a written statement authorizing discussion of that individual's record in the accompanying person's presence; Personal review.

"(2) permit the individual to request amendment of a record pertaining to him and— Amendment request.

"(A) not later than 10 days (excluding Saturdays, Sundays, and legal public holidays) after the date of receipt of such request, acknowledge in writing such receipt; and

"(B) promptly, either—

"(i) make any correction of any portion thereof which the individual believes is not accurate, relevant, timely, or complete; or

"(ii) inform the individual of its refusal to amend the record in accordance with his request, the reason

for the refusal, the procedures established by the agency for the individual to request a review of that refusal by the head of the agency or an officer designated by the head of the agency, and the name and business address of that official;

Review.

"(3) permit the individual who disagrees with the refusal of the agency to amend his record to request a review of such refusal, and not later than 30 days (excluding Saturdays, Sundays, and legal public holidays) from the date on which the individual requests such review, complete such review and make a final determination unless, for good cause shown, the head of the agency extends such 30-day period; and if, after his review, the reviewing official also refuses to amend the record in accordance with the request, permit the individual to file with the agency a concise statement setting forth the reasons for his disagreement with the refusal of the agency, and notify the individual of the provisions for judicial review of the reviewing official's determination under subsection (g)(1)(A) of this section;

Notation of dispute.

"(4) in any disclosure, containing information about which the individual has filed a statement of disagreement, occurring after the filing of the statement under paragraph (3) of this subsection, clearly note any portion of the record which is disputed and provide copies of the statement and, if the agency deems it appropriate, copies of a concise statement of the reasons of the agency for not making the amendments requested, to persons or other agencies to whom the disputed record has been disclosed; and

"(5) nothing in this section shall allow an individual access to any information compiled in reasonable anticipation of a civil action or proceeding.

"(e) AGENCY REQUIREMENTS.—Each agency that maintains a system of records shall—

"(1) maintain in its records only such information about an individual as is relevant and necessary to accomplish a purpose of the agency required to be accomplished by statute or by executive order of the President;

"(2) collect information to the greatest extent practicable directly from the subject individual when the information may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs;

"(3) inform each individual whom it asks to supply information, on the form which it uses to collect the information or on a separate form that can be retained by the individual—

"(A) the authority (whether granted by statute, or by executive order of the President) which authorizes the solicitation of the information and whether disclosure of such information is mandatory or voluntary;

"(B) the principal purpose or purposes for which the information is intended to be used;

"(C) the routine uses which may be made of the information, as published pursuant to paragraph (4)(D) of this subsection; and

"(D) the effects on him, if any, of not providing all or any part of the requested information;

Publication in Federal Register.

"(4) subject to the provisions of paragraph (11) of this subsection, publish in the Federal Register at least annually a notice of the existence and character of the system of records, which notice shall include—

"(A) the name and location of the system;

"(B) the categories of individuals on whom records are maintained in the system;

"(C) the categories of records maintained in the system;

"(D) each routine use of the records contained in the system, including the categories of users and the purpose of such use;

"(E) the policies and practices of the agency regarding storage, retrievability, access controls, retention, and disposal of the records;

"(F) the title and business address of the agency official who is responsible for the system of records;

"(G) the agency procedures whereby an individual can be notified at his request if the system of records contains a record pertaining to him;

"(H) the agency procedures whereby an individual can be notified at his request how he can gain access to any record pertaining to him contained in the system of records, and how he can contest its content; and

"(I) the categories of sources of records in the system;

"(5) maintain all records which are used by the agency in making any determination about any individual with such accuracy, relevance, timeliness, and completeness as is reasonably necessary to assure fairness to the individual in the determination;

"(6) prior to disseminating any record about an individual to any person other than an agency, unless the dissemination is made pursuant to subsection (b)(2) of this section, make reasonable efforts to assure that such records are accurate, complete, timely, and relevant for agency purposes;

"(7) maintain no record describing how any individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent to and within the scope of an authorized law enforcement activity;

"(8) make reasonable efforts to serve notice on an individual when any record on such individual is made available to any person under compulsory legal process when such process becomes a matter of public record;

"(9) establish rules of conduct for persons involved in the design, development, operation, or maintenance of any system of records, or in maintaining any record, and instruct each such person with respect to such rules and the requirements of this section, including any other rules and procedures adopted pursuant to this section and the penalties for noncompliance; Rules of conduct.

"(10) establish appropriate administrative, technical, and physical safeguards to insure the security and confidentiality of records and to protect against any anticipated threats or hazards to their security or integrity which could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom information is maintained; and Confidentiality of records.

"(11) at least 30 days prior to publication of information under paragraph (4)(D) of this subsection, publish in the Federal Register notice of any new use or intended use of the information in the system, and provide an opportunity for interested persons to submit written data, views, or arguments to the agency. Publication in Federal Register.

"(f) AGENCY RULES.—In order to carry out the provisions of this section, each agency that maintains a system of records shall promulgate rules, in accordance with the requirements (including general notice) of section 553 of this title, which shall— 5 USC 553.

"(1) establish procedures whereby an individual can be notified

in response to his request if any system of records named by the individual contains a record pertaining to him;

"(2) define reasonable times, places, and requirements for identifying an individual who requests his record or information pertaining to him before the agency shall make the record or information available to the individual;

"(3) establish procedures for the disclosure to an individual upon his request of his record or information pertaining to him, including special procedure, if deemed necessary, for the disclosure to an individual of medical records, including psychological records, pertaining to him;

"(4) establish procedures for reviewing a request from an individual concerning the amendment of any record or information pertaining to the individual, for making a determination on the request, for an appeal within the agency of an initial adverse agency determination, and for whatever additional means may be necessary for each individual to be able to exercise fully his rights under this section; and

Fees.

"(5) establish fees to be charged, if any, to any individual for making copies of his record, excluding the cost of any search for and review of the record.

Publication in Federal Register.

The Office of the Federal Register shall annually compile and publish the rules promulgated under this subsection and agency notices published under subsection (e)(4) of this section in a form available to the public at low cost.

"(g)(1) CIVIL REMEDIES.—Whenever any agency

"(A) makes a determination under subsection (d)(3) of this section not to amend an individual's record in accordance with his request, or fails to make such review in conformity with that subsection;

"(B) refuses to comply with an individual request under subsection (d)(1) of this section;

"(C) fails to maintain any record concerning any individual with such accuracy, relevance, timeliness, and completeness as is necessary to assure fairness in any determination relating to the qualifications, character, rights, or opportunities of, or benefits to the individual that may be made on the basis of such record, and consequently a determination is made which is adverse to the individual; or

"(D) fails to comply with any other provision of this section, or any rule promulgated thereunder, in such a way as to have an adverse effect on an individual,

Jurisdiction.

the individual may bring a civil action against the agency, and the district courts of the United States shall have jurisdiction in the matters under the provisions of this subsection.

Amendment of record.

"(2)(A) In any suit brought under the provisions of subsection (g)(1)(A) of this section, the court may order the agency to amend the individual's record in accordance with his request or in such other way as the court may direct. In such a case the court shall determine the matter de novo.

"(B) The court may assess against the United States reasonable attorney fees and other litigation costs reasonably incurred in any case under this paragraph in which the complainant has substantially prevailed.

Injunction.

"(3)(A) In any suit brought under the provisions of subsection (g)(1)(B) of this section, the court may enjoin the agency from withholding the records and order the production to the complainant of any agency records improperly withheld from him. In such a case the court shall determine the matter de novo, and may examine the contents of

any agency records in camera to determine whether the records or any portion thereof may be withheld under any of the exemptions set forth in subsection (k) of this section, and the burden is on the agency to sustain its action.

"(B) The court may assess against the United States reasonable attorney fees and other litigation costs reasonably incurred in any case under this paragraph in which the complainant has substantially prevailed.

"(4) In any suit brought under the provisions of subsection (g)(1)(C) or (D) of this section in which the court determines that the agency acted in a manner which was intentional or willful, the United States shall be liable to the individual in an amount equal to the sum of— Damages.

"(A) actual damages sustained by the individual as a result of the refusal or failure, but in no case shall a person entitled to recovery receive less than the sum of $1,000; and

"(B) the costs of the action together with reasonable attorney fees as determined by the court.

"(5) An action to enforce any liability created under this section may be brought in the district court of the United States in the district in which the complainant resides, or has his principal place of business, or in which the agency records are situated, or in the District of Columbia, without regard to the amount in controversy, within two years from the date on which the cause of action arises, except that where an agency has materially and willfully misrepresented any information required under this section to be disclosed to an individual and the information so misrepresented is material to establishment of the liability of the agency to the individual under this section, the action may be brought at any time within two years after discovery by the individual of the misrepresentation. Nothing in this section shall be construed to authorize any civil action by reason of any injury sustained as the result of a disclosure of a record prior to the effective date of this section.

"(h) RIGHTS OF LEGAL GUARDIANS.—For the purposes of this section, the parent of any minor, or the legal guardian of any individual who has been declared to be incompetent due to physical or mental incapacity or age by a court of competent jurisdiction, may act on behalf of the individual.

"(i)(1) CRIMINAL PENALTIES.—Any officer or employee of an agency, who by virtue of his employment or official position, has possession of, or access to, agency records which contain individually identifiable information the disclosure of which is prohibited by this section or by rules or regulations established thereunder, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.

"(2) Any officer or employee of any agency who willfully maintains a system of records without meeting the notice requirements of subsection (e)(4) of this section shall be guilty of a misdemeanor and fined not more than $5,000.

"(3) Any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than $5,000.

"(j) GENERAL EXEMPTIONS.—The head of any agency may promulgate rules, in accordance with the requirements (including general notice) of sections 553 (b)(1), (2), and (3), (c), and (e) of this title, to exempt any system of records within the agency from any part of this section except subsections (b), (c)(1) and (2), (e)(4)(A) through 5 USC 553.

(F), (e)(6), (7), (9), (10), and (11), and (i) if the system of records is—

"(1) maintained by the Central Intelligence Agency; or

"(2) maintained by an agency or component thereof which performs as its principal function any activity pertaining to the enforcement of criminal laws, including police efforts to prevent, control, or reduce crime or to apprehend criminals, and the activities of prosecutors, courts, correctional, probation, pardon, or parole authorities, and which consists of (A) information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrests, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status; (B) information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; or (C) reports identifiable to an individual compiled at any stage of the process of enforcement of the criminal laws from arrest or indictment through release from supervision.

At the time rules are adopted under this subsection, the agency shall include in the statement required under section 553(c) of this title, the reasons why the system of records is to be exempted from a provision of this section.

5 USC 553.

"(k) SPECIFIC EXEMPTIONS.—The head of any agency may promulgate rules, in accordance with the requirements (including general notice) of sections 553(b)(1), (2), and (3), (c), and (e) of this title, to exempt any system of records within the agency from subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I) and (f) of this section if the system of records is—

5 USC 552.

"(1) subject to the provisions of section 552(b)(1) of this title;

"(2) investigatory material compiled for law enforcement purposes, other than material within the scope of subsection (j)(2) of this section: *Provided, however*, That if any individual is denied any right, privilege, or benefit that he would otherwise be entitled by Federal law, or for which he would otherwise be eligible, as a result of the maintenance of such material, such material shall be provided to such individual, except to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence;

"(3) maintained in connection with providing protective services to the President of the United States or other individuals pursuant to section 3056 of title 18;

18 USC 3056.

"(4) required by statute to be maintained and used solely as statistical records;

"(5) investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence;

"(6) testing or examination material used solely to determine individual qualifications for appointment or promotion in the

Federal service the disclosure of which would compromise the objectivity or fairness of the testing or examination process; or

"(7) evaluation material used to determine potential for promotion in the armed services, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

At the time rules are adopted under this subsection, the agency shall include in the statement required under section 553 (c) of this title, the reasons why the system of records is to be exempted from a provision of this section. 5 USC 553.

"(l)(1) ARCHIVAL RECORDS.—Each agency record which is accepted by the Administrator of General Services for storage, processing, and servicing in accordance with section 3103 of title 44 shall, for the purposes of this section, be considered to be maintained by the agency which deposited the record and shall be subject to the provisions of this section. The Administrator of General Services shall not disclose the record except to the agency which maintains the record, or under rules established by that agency which are not inconsistent with the provisions of this section. 44 USC 3103.

"(2) Each agency record pertaining to an identifiable individual which was transferred to the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, prior to the effective date of this section, shall, for the purposes of this section, be considered to be maintained by the National Archives and shall not be subject to the provisions of this section, except that a statement generally describing such records (modeled after the requirements relating to records subject to subsections (e)(4)(A) through (G) of this section) shall be published in the Federal Register. Publication in Federal Register.

"(3) Each agency record pertaining to an identifiable individual which is transferred to the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, on or after the effective date of this section, shall, for the purposes of this section, be considered to be maintained by the National Archives and shall be exempt from the requirements of this section except subsections (e)(4)(A) through (G) and (e)(9) of this section.

"(m) GOVERNMENT CONTRACTORS.—When an agency provides by a contract for the operation by or on behalf of the agency of a system of records to accomplish an agency function, the agency shall, consistent with its authority, cause the requirements of this section to be applied to such system. For purposes of subsection (i) of this section any such contractor and any employee of such contractor, if such contract is agreed to on or after the effective date of this section, shall be considered to be an employee of an agency.

"(n) MAILING LISTS.—An individual's name and address may not be sold or rented by an agency unless such action is specifically authorized by law. This provision shall not be construed to require the withholding of names and addresses otherwise permitted to be made public.

"(o) REPORT ON NEW SYSTEMS.—Each agency shall provide adequate advance notice to Congress and the Office of Management and Budget of any proposal to establish or alter any system of records in order to permit an evaluation of the probable or potential effect of such Notice to Congress and OMB.

proposal on the privacy and other personal or property rights of individuals or the disclosure of information relating to such individuals, and its effect on the preservation of the constitutional principles of federalism and separation of powers.

Report to Speaker of the House and President of the Senate.

"(p) ANNUAL REPORT.—The President shall submit to the Speaker of the House and the President of the Senate, by June 30 of each calendar year, a consolidated report, separately listing for each Federal agency the number of records contained in any system of records which were exempted from the application of this section under the provisions of subsections (j) and (k) of this section during the preceding calendar year, and the reasons for the exemptions, and such other information as indicates efforts to administer fully this section.

5 USC 552.

(q) EFFECT OF OTHER LAWS.—No agency shall rely on any exemption contained in section 552 of this title to withhold from an individual any record which is otherwise accessible to such individual under the provisions of this section.".

5 USC preo. 500.

SEC. 4. The chapter analysis of chapter 5 of title 5, United States Code, is amended by inserting:

"552a. Records about individuals."

immediately below:

"552. Public information; agency rules, opinions, orders, and proceedings.".

Privacy Protection Study Commission. Establishment. 5 USC 552a note. Membership.

SEC. 5. (a)(1) There is established a Privacy Protection Study Commission (hereinafter referred to as the "Commission") which shall be composed of seven members as follows:

(A) three appointed by the President of the United States,

(B) two appointed by the President of the Senate, and

(C) two appointed by the Speaker of the House of Representatives.

Members of the Commission shall be chosen from among persons who, by reason of their knowledge and expertise in any of the following areas—civil rights and liberties, law, social sciences, computer technology, business, records management, and State and local government—are well qualified for service on the Commission.

(2) The members of the Commission shall elect a Chairman from among themselves.

Vacancies.

(3) Any vacancy in the membership of the Commission, as long as there are four members in office, shall not impair the power of the Commission but shall be filled in the same manner in which the original appointment was made.

(4) A quorum of the Commission shall consist of a majority of the members, except that the Commission may establish a lower number as a quorum for the purpose of taking testimony. The Commission is authorized to establish such committees and delegate such authority to them as may be necessary to carry out its functions. Each member of the Commission, including the Chairman, shall have equal responsibility and authority in all decisions and actions of the Commission, shall have full access to all information necessary to the performance of their functions, and shall have one vote. Action of the Commission shall be determined by a majority vote of the members present. The Chairman (or a member designated by the Chairman to be acting Chairman) shall be the official spokesman of the Commission in its relations with the Congress, Government agencies, other persons, and the public, and, on behalf of the Commission, shall see to the faithful execution of the administrative policies and decisions of the Commission, and shall report thereon to the Commission from time to time or as the Commission may direct.

(5) (A) Whenever the Commission submits any budget estimate or request to the President or the Office of Management and Budget, it shall concurrently transmit a copy of that request to Congress. Budget requests.

(B) Whenever the Commission submits any legislative recommendations, or testimony, or comments on legislation to the President or Office of Management and Budget, it shall concurrently transmit a copy thereof to the Congress. No officer or agency of the United States shall have any authority to require the Commission to submit its legislative recommendations, or testimony, or comments on legislation, to any officer or agency of the United States for approval, comments, or review, prior to the submission of such recommendations, testimony, or comments to the Congress. Legislative recommendations.

(b) The Commission shall—

(1) make a study of the data banks, automated data processing programs, and information systems of governmental, regional, and private organizations, in order to determine the standards and procedures in force for the protection of personal information; and Study.

(2) recommend to the President and the Congress the extent, if any, to which the requirements and principles of section 552a of title 5, United States Code, should be applied to the information practices of those organizations by legislation, administrative action, or voluntary adoption of such requirements and principles, and report on such other legislative recommendations as it may determine to be necessary to protect the privacy of individuals while meeting the legitimate needs of government and society for information. Ante, p. 1897.

(c) (1) In the course of conducting the study required under subsection (b) (1) of this section, and in its reports thereon, the Commission may research, examine, and analyze—

(A) interstate transfer of information about individuals that is undertaken through manual files or by computer or other electronic or telecommunications means;

(B) data banks and information programs and systems the operation of which significantly or substantially affect the enjoyment of the privacy and other personal and property rights of individuals;

(C) the use of social security numbers, license plate numbers, universal identifiers, and other symbols to identify individuals in data banks and to gain access to, integrate, or centralize information systems and files; and

(D) the matching and analysis of statistical data, such as Federal census data, with other sources of personal data, such as automobile registries and telephone directories, in order to reconstruct individual responses to statistical questionnaires for commercial or other purposes, in a way which results in a violation of the implied or explicitly recognized confidentiality of such information.

(2) (A) The Commission may include in its examination personal information activities in the following areas: medical; insurance; education; employment and personnel; credit, banking and financial institutions; credit bureaus; the commercial reporting industry; cable television and other telecommunications media; travel, hotel and entertainment reservations; and electronic check processing.

(B) The Commission shall include in its examination a study of—

(i) whether a person engaged in interstate commerce who maintains a mailing list should be required to remove an individual's name and address from such list upon request of that individual;

(ii) whether the Internal Revenue Service should be prohibited from transfering individually indentifiable data to other agencies and to agencies of State governments;

(iii) whether the Federal Government should be liable for general damages incurred by an individual as the result of a willful or intentional violation of the provisions of sections 552a (g) (1) (C) or (D) of title 5, United States Code; and

Ante, p. 1897.

(iv) whether and how the standards for security and confidentiality of records required under section 552a (e) (10) of such title should be applied when a record is disclosed to a person other than an agency.

Religious organizations, exception.

(C) The Commission may study such other personal information activities necessary to carry out the congressional policy embodied in this Act, except that the Commission shall not investigate information systems maintained by religious organizations.

Guidelines for study.

(3) In conducting such study, the Commission shall—

(A) determine what laws, Executive orders, regulations, directives, and judicial decisions govern the activities under study and the extent to which they are consistent with the rights of privacy, due process of law, and other guarantees in the Constitution;

(B) determine to what extent governmental and private information systems affect Federal-State relations or the principle of separation of powers;

(C) examine the standards and criteria governing programs, policies, and practices relating to the collection, soliciting, processing, use, access, integration, dissemination, and transmission of personal information; and

(D) to the maximum extent practicable, collect and utilize findings, reports, studies, hearing transcripts, and recommendations of governmental, legislative and private bodies, institutions, organizations, and individuals which pertain to the problems under study by the Commission.

(d) In addition to its other functions the Commission may—

(1) request assistance of the heads of appropriate departments, agencies, and instrumentalities of the Federal Government, of State and local governments, and other persons in carrying out its functions under this Act;

(2) upon request, assist Federal agencies in complying with the requirements of section 552a of title 5, United States Code;

(3) determine what specific categories of information, the collection of which would violate an individual's right of privacy, should be prohibited by statute from collection by Federal agencies; and

(4) upon request, prepare model legislation for use by State and local governments in establishing procedures for handling, maintaining, and disseminating personal information at the State and local level and provide such technical assistance to State and local governments as they may require in the preparation and implementation of such legislation.

(e) (1) The Commission may, in carrying out its functions under this section, conduct such inspections, sit and act at such times and places, hold such hearings, take such testimony, require by subpena the attendance of such witnesses and the production of such books, records, papers, correspondence, and documents, administer such oaths, have such printing and binding done, and make such expenditures as the Commission deems advisable. A subpena shall be issued only upon an affirmative vote of a majority of all members of the Com-

mission. Subpenas shall be issued under the signature of the Chairman or any member of the Commission designated by the Chairman and shall be served by any person designated by the Chairman or any such member. Any member of the Commission may administer oaths or affirmations to witnesses appearing before the Commission.

(2) (A) Each department, agency, and instrumentality of the executive branch of the Government is authorized to furnish to the Commission, upon request made by the Chairman, such information, data, reports and such other assistance as the Commission deems necessary to carry out its functions under this section. Whenever the head of any such department, agency, or instrumentality submits a report pursuant to section 552a (o) of title 5, United States Code, a copy of such report shall be transmitted to the Commission.

Reports, transmittal to Commission. Ante, p. 1897.

(B) In carrying out its functions and exercising its powers under this section, the Commission may accept from any such department, agency, independent instrumentality, or other person any individually indentifiable data if such data is necessary to carry out such powers and functions. In any case in which the Commission accepts any such information, it shall assure that the information is used only for the purpose for which it is provided, and upon completion of that purpose such information shall be destroyed or returned to such department, agency, independent instrumentality, or person from which it is obtained, as appropriate.

(3) The Commission shall have the power to——

(A) appoint and fix the compensation of an executive director, and such additional staff personnel as may be necessary, without regard to the provisions of title 5, United States Code, governing appointments in the competitive service, and without regard to chapter 51 and subchapter III of chapter 53 of such title relating to classification and General Schedule pay rates, but at rates not in excess of the maximum rate for GS-18 of the General Schedule under section 5332 of such title; and

5 USC 5101, 5331.

5 USC 5332 note.

(B) procure temporary and intermittent services to the same extent as is authorized by section 3109 of title 5, United States Code.

The Commission may delegate any of its functions to such personnel of the Commission as the Commission may designate and may authorize such successive redelegations of such functions as it may deem desirable.

(4) The Commission is authorized—

(A) to adopt, amend, and repeal rules and regulations governing the manner of its operations, organization, and personnel;

Rules and regulations.

(B) to enter into contracts or other arrangements or modifications thereof, with any government, any department, agency, or independent instrumentality of the United States, or with any person, firm, association, or corporation, and such contracts or other arrangements, or modifications thereof, may be entered into without legal consideration, without performance or other bonds, and without regard to section 3709 of the Revised Statutes, as amended (41 U.S.C. 5);

(C) to make advance, progress, and other payments which the Commission deems necessary under this Act without regard to the provisions of section 3648 of the Revised Statutes, as amended (31 U.S.C. 529); and

(D) to take such other action as may be necessary to carry out its functions under this section.

88 STAT. 1909

Compensation.

(f)(1) Each [the] member of the Commission who is an officer or employee of the United States shall serve without additional compensation, but shall continue to receive the salary of his regular position when engaged in the performance of the duties vested in the Commission.

Per diem.

5 USC 5332 note.

(2) A member of the Commission other than one to whom paragraph (1) applies shall receive per diem at the maximum daily rate for GS-18 of the General Schedule when engaged in the actual performance of the duties vested in the Commission.

Travel expenses.

(3) All members of the Commission shall be reimbursed for travel, subsistence, and other necessary expenses incurred by them in the performance of the duties vested in the Commission.

Report to President and Congress.

(g) The Commission shall, from time to time, and in an annual report, report to the President and the Congress on its activities in carrying out the provisions of this section. The Commission shall make a final report to the President and to the Congress on its findings pursuant to the study required to be made under subsection (b)(1) of this section not later than two years from the date on which all of the members of the Commission are appointed. The Commission shall cease to exist thirty days after the date on which its final report is submitted to the President and the Congress.

Penalties.

(h)(1) Any member, officer, or employee of the Commission, who by virtue of his employment or official position, has possession of, or access to, agency records which contain individually identifiable information the disclosure of which is prohibited by this section, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.

(2) Any person who knowingly and willfully requests or obtains any record concerning an individual from the Commission under false pretenses shall be guilty of a misdemeanor and fined not more than $5,000.

5 USC 552a note.

SEC. 6. The Office of Management and Budget shall—

(1) develop guidelines and regulations for the use of agencies in implementing the provisions of section 552a of title 5, United States Code, as added by section 3 of this Act; and

Ante, p. 1897.

(2) provide continuing assistance to and oversight of the implementation of the provisions of such section by agencies.

5 USC 552a note.

SEC. 7. (a)(1) It shall be unlawful for any Federal, State or local government agency to deny to any individual any right, benefit, or privilege provided by law because of such individual's refusal to disclose his social security account number.

(2) the provisions of paragraph (1) of this subsection shall not apply with respect to—

(A) any disclosure which is required by Federal statute, or

(B) the disclosure of a social security number to any Federal, State, or local agency maintaining a system of records in existence and operating before January 1, 1975, if such disclosure was required under statute or regulation adopted prior to such date to verify the identity of an individual.

(b) Any Federal, State, or local government agency which requests an individual to disclose his social security account number shall inform that individual whether that disclosure is mandatory or voluntary, by what statutory or other authority such number is solicited, and what uses will be made of it.

[FR Doc.75-16142 Filed 6-18-75;8:45 am]

SEC. 8. The provisions of this Act shall be effective on and after the date of enactment, except that the amendments made by sections 3 and 4 shall become effective 270 days following the day on which this Act is enacted.

Effective date. 5 USC 552a note.

SEC. 9. There is authorized to be appropriated to carry out the provisions of section 5 of this Act for fiscal years 1975, 1976, and 1977 the sum of $1,500,000, except that not more than $750,000 may be expended during any such fiscal year.

Appropriation. 5 USC 552a note.

Approved December 31, 1974.

LEGISLATIVE HISTORY:

HOUSE REPORT No. 93-1416 accompanying H.R. 16373 (Comm. on Government Operations).
SENATE REPORT No. 93-1183 (Comm. on Government Operations).
CONGRESSIONAL RECORD, Vol. 120 (1974):
Nov. 21, considered and passed Senate.
Dec. 11, considered and passed House, amended, in lieu of H.R. 16373.
Dec. 17, Senate concurred in House amendment with amendments.
Dec. 18, House concurred in Senate amendments.
WEEKLY COMPILATION OF PRESIDENTIAL DOCUMENTS, Vol. 11, No. 1:
Jan. 1, Presidential statement.

O

GPO 39 117

Title 22—Foreign Relations

CHAPTER II—AGENCY FOR INTERNATIONAL DEVELOPMENT, DEPARTMENT OF STATE

[A.I.D. Reg. 15]

PART 215—REGULATIONS FOR IMPLEMENTATION OF PRIVACY ACT OF 1974

On August 27, 1975, a document was published in the FEDERAL REGISTER (40 FR 39447) proposing to add a new Part 215 to Chapter II of Title 22 of the Code of Federal Regulations relating to the implementation of the provisions of the Privacy Act of 1974 (Pub. L. 93-579; 88 Stat. 1896).

The proposed regulations contained procedures for determining whether or not an individual is the subject of a record in a system of records maintained by the Agency; set forth the time, place(s) and requirements for identification of individuals making requests for notification, access, correction or amendment of records; and permit appeals of initial adverse determinations by the Agency with respect to the amendment or correction of records. The proposed rules also established fees for providing copies of records in certain circumstances and set forth rules for exempting some systems of records from certain provisions of the Act.

Interested persons were given until September 26, 1975, to submit written data, views, suggestions and arguments concerning the proposed rules. All comments received were given full and fair consideration. No changes, except those to correct typographical errors or language changes for clarification, are required to be made.

22 CFR Chapter II is amended by adding a new Part 215, reading as follows:

Sec.
215.1 Purpose and scope.
215.2 Definitions.
215.3 Procedures for requests pertaining to individual records in a system of records.
215.4 Times, places and requirements for identification of individuals making requests.
215.5 Access to requested information by individuals.
215.6 Special procedures: Medical records.
215.7 Request for correction or amendment to record.
215.8 Agency review of request for correction or amendment to record.
215.9 Appeal of initial adverse agency determination on correction or amendment.
215.10 Disclosure of record to person other than the individual to whom it pertains.
215.11 Fees.
215.12 Penalties.
215.13 General exemptions.
215.14 Specific exemptions.

Appendix A

AUTHORITY: Sec. 621, Foreign Assistance Act of 1961, as Amended, (22 U.S.C. 2381; 75 Stat. 445); secs. 3, 4, Administrative Procedures Act (5 U.S.C. 553; 60 Stat. 237); Privacy Act of 1974 (Pub. L. 93-579; 5 U.S.C. 552a; 88 Stat 1896).

§ 215.1 Purpose and scope.

(a) It is the purpose and objective of the Agency for International Development to collect information, revise personal data collection forms or processes, and maintain Agency records in a manner that will prevent an unwarranted invasion of privacy of those individuals who are the subjects of Agency records.

(b) These regulations establish the procedures by which an individual may obtain notification of the existence of Agency records pertaining to that individual, gain access to those records, request an amendment or correction to the records, and appeal adverse decisions to requests for amendment or correction of Agency records.

(c) The Agency separately states and publishes in the FEDERAL REGISTER a public notice of the existence and character of systems maintained by the Agency, pursuant to the provisions of sections (e)(4) and (e)(11) of the Privacy Act of 1974 (5 U.S.C. 552a; 88 Stat. 1896).

§ 215.2 Definitions.

(a) "Act" means the Privacy Act of 1974 (5 U.S.C. 552a; 88 Stat. 1896);

(b) "Agency" means the Agency for International Development, its offices, bureaus, divisions, and posts abroad;

(c) "Amend" shall include the amendment or correction of a record;

(d) "Individual" means a citizen of the United States or an alien lawfully admitted for permanent residence;

(e) "Maintain" includes maintain, collect, use or disseminate;

(f) "Record" means any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, and criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph;

(g) "Routine use" means, with respect to the disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was collected;

(h) "Statistical Record" means a record in a system of records maintained for statistical research or reporting purposes only and not used in whole or in part in making any determination about an identifiable individual, except as provided by section 8 of title 13;

(i) "System of Records" means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

§ 215.3 Procedures for requests pertaining to individual records in a system of records.

(a) Requests for notification of, access to, or amendment of Agency records contained in a system of record pertaining to an individual may be made in person or by mail as follows:

IN PERSON

Director, Office of Personnel and Manpower (SER/PM), Agency for International Development, Rosslyn Plaza, Room 105, 1601 North Kent Street, Arlington, Virginia 22209.

BY MAIL

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

(b) Such request should include information necessary to identify the record, e.g., the individual's full name, date of birth, place of birth, present mailing address, system of record identification name and number, if known, and, to facilitate the retrieval of records contained in those systems of records which are retrievable by social security numbers, the social security number of the individual to whom the record pertains.

(c) With respect to a system of records which may be maintained by the Agency in offices outside the United States, an individual may inquire whether he or she is the subject of an Agency record or may request access to or amendment of such records by appearing in person or by writing to the Privacy liaison Officer, Agency for International Development, at the address given for the applicable country in Appendix A, of this part.

(d) The Director, Office of Personnel and Manpower, or his or her designee, or, in the case of an office abroad, the Privacy Liaison Officer, or his or her designee, shall, within ten (10) working days of receipt of the request, furnish in writing to the requesting individual notice of the existence or nonexistence of any records described in the request.

§ 215.4 Times, places, and requirements for identification of individuals making requests.

(a) Individuals making personal requests for notification, access or contest may do so at the place designated in paragraph (a) of § 215.3, which is open from 9 a.m. to 5 p.m. daily, except Saturdays, Sundays, and Legal Public Holidays.

(b) Individuals making personal requests for notification, access or contest at offices outside the United States may do so at the places designated in paragraph (c) of § 215.3, during the regular business hours of those offices.

(c) An individual requesting such information in person shall provide such personal identification as is reasonable under the circumstances to verify the individual's identity; e.g., driver's license, employee identification card, or medicare card.

(d) An individual requesting such information by mail shall include in his or her request a signed notarized statement to verify his or her identity and which stipulates that the individual understands that knowingly or willfully seeking or obtaining access to records about another individual under false pretenses is punishable by a fine up to $5,000, as provided in section (i)(3) of the Act.

(e) Verification of identity as set forth in paragraphs (c) and (d) of this section shall not be required of individuals seeking access to records otherwise available to any member of the public under the Freedom of Information Act (5 U.S.C. 552; 88 Stat. 1561).

(f) An individual who wishes to be accompanied by another person when reviewing a record shall furnish the Agency with a written statement authorizing discussion of his or her record in the presence of the accompanying person. Such statement need not contain any reasons for the access or for the accompanying person's presence.

§ 215.5 Access to requested information by individuals.

(a) Upon receipt of a request by an individual made in accordance with the provisions of § 215.3, such individual shall be granted access to any record pertaining to him or her which is contained in a system of records maintained by the Agency.

(b) Notwithstanding the provisions of paragraph (a) of this section, access will not be allowed an individual to information or records compiled by the Agency in reasonable anticipation of a civil or criminal action or proceeding.

(c) Whenever possible, access to requested records will be granted:

(1) Where the request is presented in person and the record is readily available, promptly upon receipt of the request for access, determination that access to the record may be granted, verification of the identity of the individual seeking access, and, where applicable, receipt of consent to discuss the record with a person accompanying the individual;

(2) Where the request is made by mail, the record will, whenever possible, be provided within ten (10) working days of receipt of the request.

(d) Where access to a record cannot reasonably be granted as provided in paragraph (c) (1) and (2) of this section, the Agency will acknowledge in writing receipt of the request for access and indicate a reasonable time within which access to the record can be granted.

(e) Where no reasonable means exist for an individual to have access to his or her record in person, a copy of the record may be provided through the mail. No fee will be charged for providing copies pursuant to this subsection.

§ 215.6 Special procedures: Medical records.

If the Director, Office of Personnel and Manpower, determines that the release directly to the individual of medical records maintained by the Agency could have an adverse effect upon such individual, the director will attempt to arrange an acceptable alternative (such as the release of said information to a doctor named by the individual) in granting access to such record.

§ 215.7 Request for correction or amendment of record.

(a) An individual may request the Agency to correct or amend a record pertaining to him or her which the individual believes is not accurate, relevant, timely or complete.

(b) Such request must be in writing and must be presented, in person or by mail as follows:

IN PERSON

Director, Office of Personnel and Manpower (SER/PM), Agency for International Development, Rosslyn Plaza, Room 105, 1601 North Kent Street, Arlington, Virginia 22209. Attention: Privacy Liaison Officer.

BY MAIL

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

(c) Such requests, whether or not submitted on forms provided therefor, must set forth the following information:

(1) Identification of the system of records in which the particular record is maintained;

(2) The portion(s) of the record to be amended or corrected;

(3) The desired amendment or correction;

(4) The reasons for the amendment or correction; and the request must be accompanied by evidence, documentation, or other information in support of the request.

(d) Assistance in preparing a request to amend a record may be obtained from:

Privacy Liaison Officer, Rosslyn Plaza, Room 105, 1601 North Kent Street, Arlington, Virginia 22209.

§ 215.8 Agency review of requests for amendment of record.

(a) The Agency will examine the information requested to be amended to determine its accuracy, timeliness, and completeness, and its relevancy and necessity to accomplish a purpose of the Agency required to be accomplished by statute or by executive order.

(b) Within ten (10) working days after the receipt by the Director, Office of Personnel and Manpower, of a request made in accordance with this section, the Director shall acknowledge in writing such receipt and shall, after examination in accordance with the provisions of paragraph (a) of this section, promptly either:

(1) Make any amendment of any portion thereof which the individual believes is not accurate, relevant, timely or complete, and notify the individual of the amendment made; or

(2) Inform the individual of the Agency's refusal to amend the record in accordance with the request, the reason(s) for the refusal, and the procedures established by the Agency for the individual to request a review of that refusal.

(c) If the Agency agrees with the individual's request to amend a record, in addition to proceeding as set forth in paragraph (b) (1) of this section, it shall promptly advise all previous recipients of the record of the fact that the amendment was made and the substance of the amendment where an accounting of disclosures has been made.

(d) If unusual circumstances prevent the completion of Agency action on the request to amend within 30 days after the receipt thereof by the Director, the individual will be promptly advised of the delay, the reasons for the delay, and of the date by which the review is expected to be completed.

(e) If the Agency, after its initial examination of the record and the request for Amendment, disagrees with all or any part of the individual's request to amend, it shall:

(1) To the extent the Agency agrees with any part of the individual's request to amend, proceed as described in paragraphs (b) (1) and (c) of this section;

(2) Advise the individual of its refusal and the reason(s) therefor;

(3) Inform the individual that he or she may request a further review by the Administrator or by an officer of the Agency designated by the Administrator; and

(4) Describe the procedures for requesting such a review, including the name and address of the official to whom the request should be directed.

(f) No part of these regulations shall be construed to permit:

(1) The alteration of evidence presented in the course of judicial, quasi-judicial or quasi-legislative proceedings;

(2) Collateral attack upon any matter which has been the subject of judicial or quasi-judicial action; or

(3) An amendment or correction which would be in violation of an existing statute, executive order or regulation.

§ 215.9 Appeal of initial adverse agency determination.

(a) An individual who disagrees with the denial or partial denial of his or her request to amend a record may file a request for review of such refusal within 60 days after the date of notification of the denial or partial denial.

(b) The request for review must be in writing and may be presented in person or by mail 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.* Such request should include any documentation, information or statements advanced for the amendment of the record, and a copy of the initial adverse determination.

(c) Upon receipt of the request for review, the Administrator, or an officer of the Agency designated in writing by the Administrator, shall undertake an independent review of the initial determination.

(d) If someone other than the Administrator is designated to conduct the review, he or she shall be an officer who is organizationally independent of or senior to the officer or employee who made the initial determination.

(e) In conducting the review, the reviewing official may, at his or her option, request such additional information as is deemed necessary to establish that the record contains only that information which is accurate, timely, complete and necessary to assure fairness in any determination which may be made about the individual on the basis of the record.

(f) Within 30 days after receipt of the request for review, the Administrator, or the official designated to conduct the review, shall advise the individual of the Agency's final decision. If unusual circumstances prevent the completion of the review within the 30-day period, the Agency shall, prior to the expiration of the 30-day period, advise the individual in writing of the circumstances preventing the completion of such review and inform him or her of the date by which the review is expected to be completed.

(g) If the reviewing official determines that the record should be amended in accordance with the individual's request, the Agency shall:

(1) Amend the record accordingly;

(2) Advise the individual of the amendment; and

(3) Where an accounting of disclosures has been made, advise all previous recipients of the fact that the amendment was made and the nature of the amendment.

(h) If, after conducting the review, the reviewing official refuses to amend the record, in whole or in part, in accordance with the individual's request, Agency shall advise the individual:

(1) Of its refusal and the reasons therefor;

(2) Of the individual's right to file a concise statement of his or her reasons for disagreeing with the Agency's decision;

(3) Of the procedures for filing a statement of disagreement;

(4) That any such statement will be made available to anyone to whom the record is subsequently disclosed, together with a brief statement by the Agency summarizing its reasons for refusing to amend the record;

(5) That to the extent an accounting of disclosure was maintained, prior recipients of the disputed record will be provided a copy of any statement of disagreement and of the Agency's statement summarizing its reasons for refusing to amend the record; and

(6) Of the individual's right to seek judicial review of the Agency's refusal to amend a record as provided for in section (g)(1)(a) of the Act.

§ 215.10 Disclosure of record to person other than the individual to whom it pertains.

(a) Subject to the conditions of paragraphs (b) and (c) of this section, the Agency shall not disclose any record which is contained in a system of records by any means of communication to any person or other agency who is not the individual to whom the record pertains.

(b) Upon written request or with prior written consent of the individual to whom the record pertains, the Agency may disclose any such record to a person or to another agency as requested or authorized.

(c) Notwithstanding the absence of written consent from the individual to whom the record pertains, the Agency may disclose any such record provided such disclosure is:

(1) To those officers and employees of the Agency who have a need for the record in the performance of their duties;

(2) Required under the Freedom of Information Act (5 U.S.C. 552);

(3) For a routine use as defined in § 215.2;

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of Title 13 of the United States Code;

(5) To a recipient who has provided the Agency with adequate advance written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his or her designee, to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity authorized by law: *Provided*, The head of the agency or instrumentality has made a prior written request to the Director, Office of Personnel and Manpower, specifying the particular record and the law enforcement activity for which it is sought;

(8) To a responsible person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification will be transmitted to the last known address of such individual;

(9) To either House of Congress, and to the extent of a matter within its jurisdiction, any committee or subcommittee, or joint committee of Congress, or subcommittee of such joint committee;

(10) To the Comptroller General, or any of his or her authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

(11) Pursuant to an order of a court of competent jurisdiction.

§ 215.11 Fees.

(a) Except as provided in paragraph (b) of this section, and § 215.5(e), fees for copies of records and documents will be charged at the rate of 10 cents per page (one side), limited to size 8½" by 14" or smaller.

(b) No fees will be charged for providing the first copy of a record or any portion thereof to individuals to whom the record pertains.

(c) If special handling or other than first-class mail is requested or required, the costs thereof shall be added to the basic fee.

(d) Remittance may be in the form of a check, bank draft on a bank in the United States, or postal money order, payable to the Treasurer of the United States, or cash.

(e) A receipt for fees paid will be given only upon request.

§ 215.12 Penalties and remedies.

The provisions of the Act relating to penalties and remedies are summarized below:

(a) An individual may bring a civil action against the Agency when the Agency:

(1) Makes a determination not to amend a record in accordance with the individual's request;

(2) Refuses to comply with an individual's request pursuant to 5 U.S.C. 552a (d)(1);

(3) Fails to maintain a record concerning an individual with such accuracy, relevance, timeliness and completeness as is necessary to assure fairness in any determination relating to the qualifications, character, rights, or opportunities of, or benefits to the individual that may be made on the basis of such record, and as a result thereof a determination is made which is adverse to the individual; or

(4) Fails to comply with any other provision of section (d) of the Act in such a way as to have an adverse effect on an individual.

(b) The court may order the correction or amendment of the record, may enjoin the Agency from withholding the records, may order the Agency to produce any records improperly withheld, and may assess attorneys' fees and costs.

(c) Where a court of competent jurisdiction makes a determination that the Agency action was willful or intentional with respect to 5 U.S.C. 552a (g)(1) (c) or (d), the United States shall be liable for actual damages of no less than $1,000, the costs of the action, and attorneys' fees.

(d) Criminal penalties may be imposed against an officer or employee of the Agency who willfully discloses material which he or she knows is prohibited from disclosure, or who maintains a system of records without complying with the notice requirements.

(e) Criminal penalties may be imposed against any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretenses. The offenses enumerated in paragraph (d) of this section and this paragraph (e) are misdemeanors, with fines not to exceed $5,000.

§ 215.13 General exemptions.

(a) Pursuant to 5 U.S.C. 552a (j)(2), the Administrator may, where there is a compelling reason to do so, exempt a system of records within the Agency from any part of the Act, except subsections (b), (c) (1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11), and (i) thereof, if the system of records

is maintained by the Agency or component thereof which performs as its principal function any activity pertaining to the enforcement of criminal laws, including police efforts to prevent, control, or reduce crime or to apprehend criminals, and the activities of prosecutors, courts, correctional, probation, pardon, or parole authorities, and which consists of:

(1) Information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrests, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status;

(2) Information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; or

(3) Reports identifiable to an individual compiled at any stage of the process of enforcement of the criminal laws from arrest or indictment through release from supervision.

(b) Each notice of a system of records that is the subject of an exemption under this section will include a statement that the system has been exempted, the reasons therefor, and a reference to the FEDERAL REGISTER issue where the exemption rule can be found.

(c) The systems of records to be exempted under section (j)(2) of the Act, the provisions of the Act from which they are being exempted, and the justification for the exemptions, are set forth below:

(1) *Criminal Law Enforcement Records.* This system of records is to be exempted from sections (c) (3) and (4), (d), (e) (1), (2), and (3), (e) (4) (G), (H), and (I), (e) (5) and (8), (f), (g) and (h) of the Act. These exemptions are necessary to insure the proper functioning of the law enforcement activity, to protect confidential sources of information, to fulfill promises of confidentiality, to maintain the integrity of the law enforcement procedures, to avoid premature disclosure of the knowledge of criminal activity and the evidentiary bases of possible enforcement actions, to prevent interference with law enforcement proceedings, to avoid the disclosure of investigative techniques, and to avoid the endangering of law enforcement personnel.

§ 215.14 Specific exemptions.

(a) Pursuant to 5 U.S.C. 552a(k) the Administrator may, where there is a compelling reason to do so, exempt a system of records, from any of the provisions of subsections (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I), and (f) of the Act if a system of records is:

(1) Subject to the provisions of 5 U.S.C. 552(b)(1);

(2) Investigatory material compiled for law enforcement purposes, other than material within the scope of subsection (j)(2) of the Act: *Provided, however,* That if any individual is denied any right, privilege, or benefit to which he or she would otherwise be eligible, as a result of the maintenance of such material, such material shall be provided to such individual, except to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence;

(3) Maintained in connection with providing protective services to the President of the United States or other individuals pursuant to 18 U.S.C. 3056;

(4) Required by statute to be maintained and used solely as statistical records;

(5) Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence;

(6) Testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal service, the disclosure of which would compromise the objectivity or fairness of the testing or examination process; or

(7) Evaluation material used to determine potential for promotion in the armed services, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

(b) Each notice of a system of records that is the subject of an exemption under 5 U.S.C. 552a(k) will include a statement that the system has been exempted, the reasons therefor, and a reference to the FEDERAL REGISTER issue where the exemption rule can be found.

(c) The systems of records to be exempted under section (k) of the Act, the provisions of the Act from which they are being exempted, and the justification for the exemptions, are set forth below:

(1) *Criminal Law Enforcement Records.* If the 5 U.S.C. 552a(j)(2) exemption claimed under paragraph (c) of § 215.13 and on the notice of systems of records to be published in the FEDERAL REGISTER on this same date is held to be invalid, then this system is determined to be exempt, under 5 U.S.C. 552(a)(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 disclosure 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.

(2) *Personnel Security and Suitability Investigatory Records.* This system is exempt under U.S.C. 552a (k)(1), (k)(2), (k)(3), and (k)(5) from the provisions of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4), (G), (H), and (I), and (f). 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 assure the protection of the President, to maintain the 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. Special note is made of the limitation on the extent to which this exemption may be asserted.

(3) *Litigation Records.* This system is exempt under 5 U.S.C. 552a (k)(1), (k)(2), and (k)(5) from the provisions of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4) (G), (H), and (I), and (f). 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, 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.

(4) *Employee Equal Employment Opportunity Complaint Investigatory Records.* This system is exempt under 5 U.S.C. 552a (k)(1), (k)(2), (k)(4), and (k)(5) from the provisions of 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4), (G), (H), and (I), and (f). 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, 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 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. 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.
Pomponio 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 54-5, New Cumberland Army Depot, New Cumberland, Pa. 17070.	Building 54-5, 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. Montijheel, 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.	Gabourel Lane and Hutson St., Belize City, Belize.
Bolivia	USAID to Bolivia, c/o American Embassy, La Paz, Bolivia.	363 Almirante Grau St., La Paz, Bolivia.
Chad	Country Development Officer, c/o American Embassy, N'Djamena, Chad.	Rue du Lt. Col. Colonpa d'Ornano, N'Ljamena, Chad.
Cameroon	Area Development Office, c/o American Embassy, Yaounde, Cameroon.	Rue Nachtigal, 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 Pensen and Calle, Leopoldo Navarro, Santo Domingo, Dominican Republic.
Ecuador	USAID to Equador, c/o American Embassy, Quito, Ecuador.	120 Avenida Patria, Quito, Ecuador.
Egypt	USAID, American Embassy, Cairo, Egypt	5 Sharia Latin America, Cario, Egypt.
El Salvador	USAID to El Salvador, c/o American Embassy, San Salvador, El Salvador.	No. 1230, 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, 7-86, 8th St., Zone 9, Guatemala City, Guatemala.
Guyana	USAID to Guyana, c/o American Embassy, Georgetown, Guyana.	65 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 11.	Shanti Path, Chanakyapuri 21, New Delhi, India.
Indonesia	USAID to Indonesia, c/o American Embassy, Jakarta, Indonesia.	Medan Merdeka, Selatan 5, Jakarta, Indonesia.

	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 Embassy, Abidjan, Ivory Coast.	5, Rue Jesse Owens, Abidjan, Ivory Coast.
Jamaica	Office of AID Affairs, c/o American Embassy, 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, Eliot 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 American Embassy, Beirut, Lebanon.	Corniche at Rue Aiv Mreisseh, Beirut, Lebanon.
Liberia	USAID, P.O. Box 1445, Monrovia, Liberia	United Nations Dr., Monrovia, Libeia.
Mali	Country Development Officer, c/o American Embassy, Bamako, Mali.	Rue Testard and Rue Mohamed V, Bamako, Mali.
Mauritania	Country Development Officer, c/o American Embassy, Nouakchott, Mauritania.	American Embassy, Nouakchott, Mauritania.
Mexico	Office of AID Affairs, c/o American Embassy, 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 Embassy, 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, Pakistan.	Diplomatic Enclave, Ramna 4, Islamabad, Pakistan.
Panama	USAID to Panama, c/o American Embassy, Panama City, Panama.	USAID Main Bldg., Cemento Panama Bldg., Manuel Espinosa Batista, Panama City, Panama.
Paraguay	USAID to Paraguay, c/o American Embassy, 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, Philippines.	1680 Roxas Blvd., Manila, Philippines.
Portugal	American Embassy, Lisbon, APO New York 09678.	Avenida Duque de Loule No. 39, Lisbon, Portugal.
Puerto Rico	c/o Assistant Secretary, International Exchange, Department of State, Commonwealth 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.	44 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 Activities, Coordination/Mbabane, c/o American Embassy, Mbabane, Swaziland.	OSARAC-Hdqts, 218 Gilfillan 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 American Embassy, Damascus, Syria Arab Republic.	Chare (Ave.) Al-Mansour, Abu, Rummanih, Damascus, Syria.
Taiwan	Office of AID Affairs, c/o American Embassy, Taipei, Taiwan.	No. 2 Chung Hsiao West Road, Second Sectiori, 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.	95 Wireless Road, Bangkok, Thailand.
Togo	Area Development Officer, c/o American Embassy, Niamey, Niger.	Rue Pelletier Caventor and rue Vauban, Lome, Togo.
Tunisia	USAID to Tunisia, c/o American Embassy Tunis, Tunisia.	149 Aveneue 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/Montevideo, c/o American Embassy, Montevideo, Uruguay.	Lauro Muller 1776, Montevideo, Uruguay.
Yemen	Office of AID Affairs, c/o American Embassy, Sana, Yemen.	American Embassy, Sana, Yemen Arab Republic.
Zaire	USAID to Republic of Zaire, c/o American Embassy, Kinshasa, Republic of Zaire.	310 Ave. des Aviateurs, Kinshasa, Zaire.

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 therto, 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 conduction 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 form 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 sytem 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 recods 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

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 arbitator (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 seperation 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 Serivce 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;

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 officals 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-releated 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 seperation 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 incumbered 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.

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

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 theron, 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.

PRIVACY ACT ISSUANCES

Requests for reyiew 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 manager(s) 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.

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)(l), (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) (l), (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 acutal 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. 552(a) (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

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 alledged 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. Washinton, 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

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, micellaneous 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 governemnt 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.

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-

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 institutions 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, Employees 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.

PRIVACY ACT ISSUANCES

Authority for maintenance of the system: Foreign Assistance Act of 1961r 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 quests 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; commissory, 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.

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 Kent Street, Arlington, Virginia for allowance claims and health benefit claims.

Office of the General Counsel, Agency for International Development, 320 21 st 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. Despatch 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 of determine validity of medical claims.

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

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(b); 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, 4205 Suitland Road, Suitland, Maryland.

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, Sub-chapter VIII.

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

PRIVACY ACT ISSUANCES

ployees 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, foriegn 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 Offical 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 offical 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 offical 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, 4205 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.

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]

APPENDIX 12D

FORMAT

(RESERVED)

APPENDIX 12E

FORMS

(RESERVED)

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON D C 20523

THE ADMINISTRATOR

January 17, 1983

MEMORANDUM FOR THE EXECUTIVE STAFF - AID/W AND OVERSEAS

SUBJECT: AID Publications and Audio-Visual Products: A System for Control

On April 20, 1981, the Office of Management and Budget, on behalf of the President, imposed a moratorium on the production of new audio-visual products and the printing and distribution of new periodicals and pamphlets. OMB required a comprehensive review of all publications and audio-visuals and required all agencies to submit plans for new control systems to reduce duplication and eliminate publications deemed not essential to the Agency mission.

AID responded to the publications initiative by reconstituting the Communications Review Board, and charged it with a comprehensive review and developing a mechanism for controlling costs in the future. After review of over 100 publications and audio-visuals, the Communications Review Board completed AID's formal response to OMB. OMB accepted AID's control plan and cost reductions ($1.2 million) and lifted the moratorium on publications and audio-visuals. The CRB then commenced with a review of new items and all items previously determined as falling under the moratorium. On December 16, I signed AID's 1982 report to OMB, outlining our savings of $1,559,000. Our CRB is now well underway.

The following are guidelines for submitting a Request for Approval to the Communications Review Board, and steps that make up the new process. Scope of Authority and revised policies and procedures are attached.

1) The CRB will review all (some in retrospect) publications, periodicals, and wall posters whether printed in-house, or by contractors or subcontractors. The CRB will review all requests for audio-visual productions. The Board will review all requests for second printing of any publications, brochures, pamphlets and audio-visual products and determine if the quantity requested is appropriate. All publications and audio-visual materials are required to be submitted for consideration at the concept stage. All requests are to be submitted to the Executive Director of the CRB with an OMB-approved Communications Review Board form, Request for Approval. AID's Program and Management Services offices have been directed not to print, design or distribute materials without CRB approval.

2) The requesting unit should incorporate in its CRB Request for Approval form the following points: the need for the item; audience; format; estimated cost (direct and indirect); plans for evaluations; rationale for the specific medium, projected shelf life of the product; suggestions about methods of procurement or production; how the demand is or is not met by other donor activities; whether the AID logo and disclaimer is displayed; how cost might be passed on to the user; justification of a particular format; and alternatives considered. The Chairman of the CRB will assign oversight responsibility to a member of the CRB to ascertain that: a genuine need for publication exists; the proposal is essential to Agency objectives; the proposal reflects the goals and priorities of the Agency; the proposed timeframe/cost estimates are valid and complete; the method of production is most efficient; evaluation plans are included in the proposal; previous audits and evaluations are reviewed on publications similar in nature to the request; the external audience is targeted correctly; the proposal is in conformity to Agency policies and OMB circulars A-3, A-76, and A-114; information has been transmitted to the National Audio Visual Center; and other details relating to the final proposal request.

3) In a Communications Review Board meeting, the member assigned oversight will present an analysis and evaluation of the request. Officials of the requesting office may participate in the deliberations. Respective Assistant Administrators will be informed of CRB actions. If the CRB disapproves the proposal, the requesting unit is not to expend further resources on a rejected proposal. If an Assistant Administrator contests the decision of the Board, the Chairman of the CRB and Assistant Administrator concerned will meet and resolve the issue. If the Assistant Administrator and CRB Chairman disagree, the issue may come directly to the Administrator/Deputy Administrator for final decision.

4) The approval document that validates the final proposal for production or procurement shall be a notation on the original CRB approval form from the requesting unit or a separate memo from the Chairman of the CRB. The terms of the approved proposal shall be adhered to during production or procurement, and shall be reflected in the related requisitions and other forms used during production and procurement. No procurement or production or obligations for same shall take place prior to obtaining final approval of the request.

5) The requesting unit is responsible for implementation, distribution, and conformity with the approved proposal. Distribution plans will have been reviewed for conformity to OMB Circular A-114, Federal Procurement Regulations on Printing and Audio-Visual Duplication. Directors of overseas offices are encouraged to report to the Chairman of the CRB about product acceptability, delivery time, distribution, and evaluation on an ad hoc basis.

Every publication and audio-visual, by the nature of the foregoing process, shall be subject to ad hoc re-evaluation of content, need, design, and other factors, when it is submitted for re-issue. Publications may be reviewed by each Bureau's Evaluation Office, the Program and Policy Coordination Bureau's Evaluation Office, the Inspector General's Office and other evaluation processes.

M. Peter McPherson

Attachments
A. Policies and Procedures
B. Request for Approval Form

CHAPTER 13

POLICIES AND PROCEDURES

COMMUNICATIONS REVIEW BOARD

13A. PURPOSE AND SCOPE

1. The purpose of the Communications Review Board CRB is:

a. To assure that the publications and audio-visual materials produced and financially supported by A.I.D. are necessary and support the Agency's priorities in programming and communications.

b. To evaluate the proposed methods for production and distribution of publications and audio-visual materials for cost effectiveness.

c. To eliminate duplication and waste in publications and audio-visual materials.

d. To conduct an annual review of all periodicals to determine if the items are still essential to the Agency and in conformance with its policies. This review will include items previously approved by the Board.

e. To establish controls which ensure that all publications and audio-visuals are being cleared by the CRB.

f. To establish evaluation criteria for the CRB and to meet at least once a month and review submissions.

g. To prepare an annual report for the Administrator and the Office of Management and Budget.

2. SCOPE OF THE CRB

The CRB will review:

a. All periodicals, brochures, and/or pamphlets and audio-visual productions (except the exemptions noted herein) when any of these items requires the obligation or expenditure of A.I.D. funds.

b. Requests for additional printing or reprints of any publication and audio-visual production.

c. Proposals for the purchase of 10 or more copies of a commercially produced audio-visual production for Agency use; proposals to purchase a publication produced outside the Agency when the quantity is over 150, and when the total expenditure of the purchase exceeds $1,000.

d. Any request for production of a display or exhibit for the Agency.

Additionally, the CRB:

a. Will establish "control points" within the Agency and hold the respective offices accountable for determining that CRB clearance was obtained. Further, information on control processes can be obtained from the Executive Director of the CRB.

b. Will be informed of any proposed purchase of print and audio-visual production related equipment by the appropriate A.I.D./W Bureau or Office.

c. Will suggest Agency-wide management studies which could contribute to cost savings in any phase of production and distribution of a communications product.

d. May establish graphic and printing formats for final reports and technical papers.

13B. EXEMPTIONS TO CRB REVIEW ARE:

1. MANAGEMENT MATERIALS as follows:

Directives and Regulations
Handbooks
Implementing Guidebooks
Notices
Telephone and Services Directories
Personnel Listings
  Alphabetical Employee List Locator Reports
  Position AOSC List
  Staffing Patterns and Related Personnel Reports
  Recruitment Directives

Vacancy Announcements
Small Business Circulars
Requests for Bid (RFBs)
FM Financial Reports
Correspondence
Computer Tapes and Discs
Information Resources Management Forms
Inspector General Publications

2. CONGRESSIONAL REQUIREMENTS

Statements/Testimony
Notifications of Program Change
Requested or Legislatively Required Reports
Congressional Record Reviews
Briefing Books
Current Summaries or Reviews of Legislation Affecting A.I.D.

3. PROJECT DOCUMENTS: (When the combined quantities for all printing runs do not exceed 150 copies)

Technical Assistance Papers
Project Identification Documents (PIDs)
Project Papers and Annexes (PPs)
Project Design Reports/Feasibility Studies
Grant Proposals
Evaluation Reports
Project Implementation Orders (PIO/Ts, PIO/Ps, PIO/Cs)

4. PROGRAM DOCUMENTS:

Country Development Strategy Statements (CDSSs)
Annual Budget Submissions (ABSs), and related internal management/budget reports
Small Program Statements (SPSs)
Mission Operating Budgets (MOBs)
Policy Determinations (PDs)
Congressional Presentations (CPs)
Regional Strategy Documents (RSDs)

5. PUBLIC AFFAIRS ISSUANCES:

Daily Press Clips
Weekly Clipping Logs
Press Releases

Speeches
Microfilms
Individual Slides for Speakers
Individual Overhead Transparencies for Speakers

6. Publications and other communications' products produced under host-country contracts, provided that the total publications' cost is under $5,000.

7. Publications and other communications products produced under grants or contracts with PVOs or international multilateral organizations where the project objectives are multipurpose, and where no more than 10% of A.I.D.'s contribution to the total budget results in a communications product.

8. Publications and other communications' products produced from Mission operating expense funds to explain A.I.D.'s program, provided that the total publications' cost is under $5,000.

9. Publications or communications products produced incidental to or as one of a set of end products to field-implemented economic development projects, e.g., no more than 10% of A.I.D.'s contribution to the total budget results in a communications product.

13C. PROCEDURES:

1. All proposed publications or communications' products (except those described in 13B) must be submitted to the CRB for consideration when they are in the concept stage and prior to any obligation or expenditure of funds. Fifteen (15) copies of the request are to be submitted to the Executive Director of the CRB on the approved form Request for Approval: Communications Product ten (10) days prior to the next meeting. The request must be signed by requesting official, the Office Head and the Assistant Administrator or Acting Assistant Administrator of the Bureau. AA approval signifies that the proposal is essential to Agency objectives, reflects the goals and priorities of the Agency and is in conformity with Agency policies.

2. The Request for Approval must include the following information: the need for the item, the intended audience; proposed content; estimated cost (direct and indirect); distribution and production plans, evaluation of product's effectiveness, projected shelf life of the product; how the demand is or is not being met by other activities; whether the A.I.D. logo and disclaimer will be displayed; how the cost might be passed on to the user; justification for the desired format; and alternative formats that have been considered.

The Chairman of the CRB will assign oversight responsibility to a member of the CRB who will ascertain that: a genuine need for the communications' product exists; the proposed timeframe and cost estimates are valid and complete; the method of production is most efficient; evaluation plans are included in the proposal; previous audits and evaluations are reviewed on publications similar in nature to the request; and the external audience is targeted correctly.

3. An official of the requesting office will orally present the request at a CRB meeting. After all requests are presented, the CRB will discuss the request prior to the CRB vote. All presentors are notified of the CRB's decision in writing within 24 hours.

In the case of a disapproval by the CRB, the Assistant Administrator of the cognizant Bureau may appeal to the Chairman of the CRB. If the Assistant Administrator and the CRB Chairman cannot resolve the issue satisfactorily, the CRB decision may be appealed to the Assistant Administrator of the Office of External Affairs, the Deputy Administrator and finally the Administrator for a final decision. The requesting office may not procure, produce or obligate funds to procure, produce the communications' product prior to obtaining final approval of the request.

4. A user fee mechanism has been established by the Bureau for Management. If the CRB determines that a user fee is appropriate for a particular publication, the Chairman or his/her designee will work with the respective Bureau or Office on the specifics. User fee details will vary on a case by case basis.

5. The CRB has the authority to require that a disclaimer noting that a communications' product does not necessarily reflect the views of A.I.D. be included on all communications' products funded by A.I.D.

13D. CRB ORGANIZATION

1. The CRB was first established by the Administrator on October 24, 1978 and reorganized in April, 1981.

2. The CRB shall be composed of a Chairman and no more than nine voting members with appropriate representation from the Bureaus and Offices of the Agency. Five voting members will constitute a quorum

3. The Rules and Procedures as revised are effective May 1, 1986.

13E. Definitions

1. "Public" - refers to any designated grouping of people; can be professional or lay, employee or non-employee, stateside or overseas.

2. "Publication" - a generic term used to describe printed media such as periodicals, magazines, journals, brochures, pamphlets: may include other printed media forms, e.g., wall charts and posters.

3. "Periodical" - refers to a printed document which has an established mailing list of "publics" and which is mailed at least twice a year and more commonly monthly or quarterly.

4. "Brochure and Pamphlet" - the words are used interchangeably although "pamphlet" should be used when referring to a printed document of few pages and "brochure" for a document with several or many pages; both words refer to documents which are produced, distributed through a variety of means and may become extinct or receive periodic updating and subsequent reprinting for further distribution.

13F. User Charges for AID Publications

1. Policy

In compliance with OMB Circular A-25, as amended, it is Agency policy to recover direct costs for production and distribution of Agency publications by charging a user fee to non-Governmental recipients.

a. Exemptions to this policy may be granted by the Communications Review Board when specifically justified under one or more of the following:

(1) Furnishing of the publication without charge is an appropriate courtesy to a foreign government or international organization;

(2) The recipient is engaged in a nonprofit activity designed for the public safety, health, or welfare; or

(3) Payment of the fee by a State, local government, or nonprofit group would not be in the interest of the program.

b. When an A.I.D.-financed contractor requires a publication designated for user fees for satisfactory compliance with the contract, the minimum number of copies will be provided as Government-furnished property without charge. However, if additional copies are requested for the personal or professional use of the contractor, the user fee will apply.

2. Procedures and Responsibilities - Decisions Regarding User Fees

a. As a part of its normal reviews (13A1d, 13C1 and 13C2), the CRB will identify publications which appear to be suitable candidates for imposition of user fees for secondary distribution. Using a form A.I.D. 830-3 (Attachment B), the CRB will request comments and recommendations from the office or bureaus responsible for the publication as to whether or not a user fee should be charged.

b. The responsible office or bureau will identify the intended audience(s) for primary distribution and the anticipated audience(s) for secondary distribution, and will make specific recommendations as to whether or not a user fee should be imposed for each audience. Reasons must be given for such recommendations and may or may not include the exemptions cited in 13F1. When a proposed publication is submitted to the CRB for approval in compliance with 13C2, a completed form A.I.D. 830-3 should be attached to the Request for Approval (form A.I.D. 830-2) if the developing office feels that a user fee would be appropriate.

c. When the recommendations of the responsible office or bureau are received, the CRB will make a determination. If the decision is negative, no further action is required. If the CRB determines that a user fee should be charged, it will forward the form A.I.D. 830-3 to the Publications Management Division (M/SER/MO/PM) for action.

d. In the case of Management Materials (13B.a) which are exempt from CRB review, responsibility for review and determination with regard to the imposition of user fees shall rest with the Assistant to the Administrator for Management (AA/M), or his designee.

3. Procedures and Responsibilites - Implementation

a. The CRB will inform the responsible office or bureau of its decision to impose a user fee, and will direct that all requests for the publications are to be referred to the A.I.D. Distribution Branch (M/SER/MO/PM/D) as the sole source for distribution of the

publications. (NOTE: If the publication has not been printed by or through M/SER/MO/PM (e.g., those covered by 13CI), all copies available for secondary distribution must be turned over to M/SER/MO/PM/D to establish a stock level.)

b. Upon receipt of an approved form A.I.D. 830-3* from the CRB or AA/M (or his designee), M/SER/MO/PM will compute the fees to be charged and will implement the fee structure for secondary distribution of the publication.

(1) User fees should include a proportionate share of the production costs whether in-house or by contract (including typography, printing, binding, professional graphics services and overhead costs such as personnel salaries and benefits, rent and utilities, equipment maintenance and depreciation, and supplies), distribution and handling costs, and postage. (In A.I.D., all of these costs are normally associated with M/SER/MO/PM.)

(2) Since it is assumed that all A.I.D. publications are published to support specific Agency programs or objectives (i.e., primary distribution), developmental costs (research, writing, preparation of manuscripts and rough art work, and related staff costs) should be excluded from user fees for secondary distribution.

c. M/SER/MO/PM/D will be responsible for receiving and accounting for all user fees, and for delivering them to M/FM for transmission to the U. S. Treasury as miscellaneous receipts.

4. Quarterly Activity Report. As of the last day of each fiscal quarter, the distribution Branch will prepare a consolidated report listing each publication for which a user fee is assessed to reflect all transactions during the quarter, including: number of copies distributed (both User Fee, and No Fee), receipts collected, and number of copies remaining in stock. Copies of the report will be furnished to the CRB and to M/SER/MO for monitoring purposes, and to assist the CRB in determinations concerning reprints and quantities to be printed of similar publications.

* Attachment B, Form A.I.D. 830-3, "Proposal to Charge User Fees for An A.I.D. Publication"

COMMUNICATIONS REVIEW BOARD

REQUEST FOR APPROVAL: COMMUNICATIONS PRODUCT

Title	ES Control Number
Author	Proposed Production Date

PROPOSAL SUBMITTED BY

Typed Name	Telephone Number	Room Number
Signature	Office Symbol	Date

OFFICE HEAD APPROVAL

Typed Name	Telephone Number	Room Number
Signature	Office Symbol	Date

ASSISTANT ADMINISTRATOR/DEPUTY ASSISTANT ADMINISTRATOR APPROVAL

Typed Name	Telephone Number	Room Number
Signature	Office Symbol	Date

I. GENERAL IDENTIFICATION *(Nature of Proposed Action)*

A. 'X' appropriate boxes

☐ NEW COMMUNICATIONS PRODUCT ☐ REPRINT ☐ RESUBMISSION ☐ YEAR STARTED _____

Audio-visual Production

☐ VIDEOTAPE ☐ 16MM FILM ☐ OTHER *(specify)* _____

Printed Media

☐ ONE TIME PUBLICATION ☐ SERIES *(specify frequency e.g., annually, quarterly, etc.)* _____

B. Is this proposal an integral part of a larger project? ☐ YES ☐ NO

Describe the larger project and the relationship of this part

C. Authorization Status *(e.g., within approval project, existing contract, new publication, etc.)*

D. Funding Status *(e.g., funds obligated, add-on, new purchase order, etc.)*

E. Program Funds *(specify account)* | Operating Expenses

F. Authority — Indicate whether the publication is required by

☐ STATUTE OR LAW ☐ JUDICIAL DIRECTION

☐ AGENCY REGULATION ☐ DEEMED ESSENTIAL BY THE OFFICE

II. NEEDS/JUSTIFICATION

A. How does the communications product fit into the Agency's programmatic or communications objectives /priorities?

B. What is the primary audience in terms of number, location, occupation? Also, divide your primary audience into sub-groups and size of each, on a percentage figure of distribution.

C. Is there evidence of demand from these audiences? ☐ YES ☐ NO

To what extent is this demand being met by other agency/donor activities?

III. CONTENT

A. Give a brief overview of the content and state how long this message will remain current

B. How is the content consistent with current AID policy?

IV. PRODUCTION ECONOMIES

A. Describe your distribution plans, including alternative plans considered and rejected *(e.g., seminar, mailing list, pouch, overseas, domestic, etc.)*. If mailing list, explain how it is maintained, periodic purging, etc.

B. Have you sought editorial and production style assistance from the Office of Public Affairs? ☐ YES ☐ NO

C. Will the final editorial and production talents be provided by

☐ YOUR OFFICE ☐ OFFICE OF PUBLIC AFFAIRS

☐ SER/MO/PUM ☐ OUTSIDE CONTRACTOR *(includes free lance talent)*

Provide cost analysis on desired production methods

D. Will the AID logo and/or an appropriate disclaimer be displayed? ☐ YES ☐ NO

V. COSTS

A. Direct costs *(editorial services, art/layout services, typesetting, printing, mailing/handling, etc.)*	B. Indirect costs *(i.e., AID staff dollar equivalents for person hours to research, etc.)*
C. Unit costs *(add both direct and indirect costs and divide by total number of copies in a year)*	D. Total annual costs

E. To what extent can the costs of this proposal be passed on *(subscriptions, etc.)* to the end user. Also indicate if any receipts have been received from this publication.

F. Cost verification if in-house by SER/MO

Typed Name	Signature	Date

VI. EVALUATION

What evaluation of this product has been undertaken or what plans are there to evaluate the effectiveness of the proposed communications product? Have previous publication deliveries of similar material to Missions conformed to delivery dates?

Action Taken

☐ APPROVAL ☐ DISAPPROVAL

Sample Attached ☐ YES ☐ NO

COMMUNICATIONS REVIEW BOARD

PROPOSAL TO CHARGE USER FEES FOR AN AID PUBLICATION

nplicance with OMB Circular A-25, it is Agency policy to recover a proportionate share of the direct costs for ng and distribution of Agency publications by charging a user fee to non-Governmental recipients. Exceptions to this policy may be granted by the Communications Review Board (CRB) when specifically justified under one or more of the conditions described in Section 13F of Chapter 13, Part III, AID Handbook 18.

Title		ES Control Number
Quantity Printed	Initial Distribution *(no fee required)*	Secondary Distribution

I. RECOMMENDATION BY RESPONSIBLE OFFICE AND BUREAU

A. Principal Audience *(form AID 830-2, II.B.)*

B. Anticipated Audience(s) for Secondary Distribution

C. A User Fee ☐ should ☐ should not be charged. State reasons. If some audiences should be charged and others not, identify each, and explain reasons for this recommendation.

OFFICE HEAD RECOMMENDATION

Typed Name	Telephone Number	Room Number
Signature	Office Symbol	Date

ASSISTANT ADMINISTRATOR/DEPUTY ASSISTANT ADMINISTRATOR RECOMMENDATION

Typed Name	Telephone Number	Room Number
Signature	Office Symbol	Date

II. DETERMINATION BY COMMUNICATIONS REVIEW BOARD

A User Fee ☐ will ☐ will not be charged for this publication. Exemptions, if any, are:

Signature	Date

AID 830-3 (9-84)

TRANSMITTAL MEMORANDUM CHECKSHEET

HANDBOOK 18 - INFORMATION SERVICES

PART III - INFORMATION TO THE PUBLIC

18-III:1	_____	18-III:24	_____
18-III:2	_____	18-III:25	_____
18-III:3	_____	18-III:26	_____
18-III:4	_____	18-III:27	_____
18-III:5	_____	18-III:28	_____
18-III:6	_____	18-III:29	_____
18-III-7	_____	18-III:30	_____
18-III:8	_____	18-III:31	_____
18-III:9	_____	18-III:32	_____
18-III:10	_____	18-III:33	_____
18-III:11	_____	18-III:34	_____
18-III:12	_____	18-III:35	_____
18-III:13	_____	18-III:36	_____
18-III:14	_____	18-III:37	_____
18-III:15	_____	18-III:38	_____
18-III:16	_____	18-III:39	_____
18-III:17	_____	18-III:40	_____
18-III:18	_____	18-III:41	_____
18-III:19	_____	18-III:42	_____
18-III:20	_____	18-III:43	_____
18-III:21	_____	18-III:44	_____
18-III:22	_____	18-III:45	_____
18-III:23	_____	18-III:46	_____

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE September 1, 1983	TRANS. MEMO NO. 18-IV:4

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

Part IV: AID Sources of Information, including the Tab

Part IV of Handbook 18 has been revised completely.

SUPERSEDES:

Part IV, including the Tab, of Handbook 18 (TM's 18-IV:1, 18-IV:2, and 18-IV:3).

FILING INSTRUCTIONS:

1. Remove superseded Part IV as indicated under SUPERSEDES.
2. File the attached in its place.
3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-IV:4 .

* * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 18-IV:4 in the front of the Handbook binder.

* * * * * *

Address questions about Part IV of this Handbook to S&T/DIU.

KEEP YOUR AID HANDBOOK UP-TO-DATE

CHAPTER 14

REPORTS MANAGEMENT

14A. Introduction

This chapter sets forth the policies, responsibilities, and procedures for the management of reports within AID to assure that reports and reporting systems are as efficient, effective, and economical as possible.

14B. External Regulations Applicable to Establishing a Reports Management Program and the Management of Internal Reports

1. Federal Records Act of 1950 - Paperwork Management

The Federal Records Act of 1950 provides the legal basis for paperwork management in the Federal Government. The law requires the head of each agency to establish a continuing program for the economical and efficient management of the agency's records.

2. Federal Property Management Regulations - Section 101-11.207 Reports - Agency Program Responsibilities

This regulation requires each Agency to establish an appropriate program to manage its internal reporting requirements. The program shall provide for the implementation of standards and procedures for managing reporting requirements and for the consideration and observance of all applicable laws and statutes relating to reporting requirements; e.g., Freedom of Information Act, Privacy Act, Federal Information Processing Standards (FIPS), Federal Reports Act, Paperwork Reduction Act of 1980 - 5 CFR 1320, Controlling Paperwork Burdens on the Public General Accounting Office directives 4 CFR 10, and the Federal Property Management Regulation 101-11.11 (interagency reporting requirements).

14C. Objectives of the Reports Management Program

The AID Reports Management Program is designed to assist AID managers fulfill their responsibilities while achieving efficiency, economy, and simplicity in reporting systems. The following are specific objectives of the program:

1. To provide a uniform, well defined flow of information;

2. To limit reporting requirements to those which are essential to attaining AID objectives;

14C

3. To ensure that all available data on a subject is used before a new requirement for additional data is levied;

4. To ensure that reports are obtained from the best source at a cost consistent with program objectives.

14D. Definitions

The following terms and definitions apply to the AID Reports Management Program.

1. Report - Data or information transmitted for use in determining policy; planning, controlling, and evaluating operations and performance; in making administrative determinations, or preparing other reports.

2. Recurring Report - A report required at established intervals or upon the occurrence of a specified event.

a. Periodic Report - A report which conveys essentially the same type of information regularly at prescribed intervals (e.g., daily, weekly, monthly, etc.).

b. Situation Report - A report which is prepared upon each occurrence of an event or situation of prescribed characteristics.

3. One-Time Report - A report prepared one time only by one or more respondents.

4. Feeder Report - A recurring report prepared in part, or for the primary purpose, of providing data to be used in preparing another report.

5. Controllable Report - A recurring or one-time report not specifically exempted from control by IRM/PE.

6. Exempt Report - A report which does not require approval and assignment of a report control symbol, or one which has been reviewed by the reports review unit and assigned to the exempt category.

7. Internally Required Report - A report required, prepared, and used within AID.

8. Intra-office Report - A report prepared by one or more organizational units within an AID Bureau, Office, or Mission, at the request of another organizational unit within the same Bureau, Office, or Mission.

14D

9. Public Reporting - Any reporting or recordkeeping required from ten or more non-Federal Government businesses, institutions, groups, or individuals.

10. Interagency Reporting - Any reporting requirement to a Federal department or agency from one or more other Federal departments or agencies.

11. Congressional Reporting - Any reporting required under the Foreign Assistance Act, the Foreign Assistance and Related Agencies Appropriation Act, or any reporting requested by a Congressional Committee, Senator, or Congressman.

12. Report Control Symbol - Alphabetic and numeric symbols assigned to reports by the Office of Information Resources Management, Planning and Evaluation (IRM/PE) or other reports management units which serve to identify the report and indicate review and approval of the requirement.

13. Requiring Office - An AID office initiating a reporting requirement or sponsoring a requirement imposed by an organization external to AID.

14. Respondent - An AID office, individual, or other agency required to respond to a reporting requirement.

14E. Responsibilities

1. Office of the Associate Assistant to the Administrator for Management, Directorate for Program and Management Services (M/AAA/SER) (Policy Guidance)

M/AAA/SER is responsible for providing policy guidance and for ensuring the development and implementation of the AID Reports Management Program. M/AAA/SER is assisted in the discharge of this responsibility by SER/IRM.

2. Office of Information Resources Management, Planning and Evaluation Division (SER/IRM/PE) (Program Implementation)

IRM/PE is responsible for implementing prescribed policies for, and establishment and maintenance of the Reports Management Program. More specifically, IRM/PE:

a. Establishes guidelines and review and control procedures to assure agency compliance with existing reporting policies;

14E2

b. Provides assistance and guidance to AID/W and Missions in developing reporting requirements;

c. Analyzes and approves or disapproves requests for new or revised internal reporting requirements;

d. Administers the periodic review and evaluation of existing information requirements to form a basis for recommending improvements, including revision, discontinuance, or consolidation of reports and reporting systems:

e. Performs Agency review of public and interagency reporting requirements and serves as liaison with OMB and GSA for their clearance procedures;

f. Maintains a current inventory of all controlled reports and issues a listing of reports in the inventory;

g. Provides guidance to responding offices on the establishment of a reporting calendar.

3. AID/W Bureaus, Offices, and Missions Management of Internal Reports

AID/W Bureaus, Offices, and Missions are responsible for the development and management of their intra-office information requirements in accordance with the criteria outlined in Sections 14F and 14G.1.b. Missions also cooperate in reviewing and analyzing internal AID reporting requirements as they affect Mission operations, in order that the requiring office and IRM/PE may benefit from their suggestions and recommendations for improving the Agency's reporting system.

4. Offices Requiring the Submission of a Report

AID/W Bureaus and Offices are responsible for initiating action to establish new internal AID reporting requirements or to revise existing requirements in their functional areas. IRM/PE is available to provide guidance to requiring offices assuring adherence to policies and procedures set forth in this Chapter. Specifically, requiring offices:

a. Ascertain that new or revised reporting requirements conform, as applicable, to the criteria outlined in Section 14G;

14E4

b. With assistance from IRM/PE, coordinate with respondents and users of reports during the development of the reporting requirement to ensure approval and to avoid costly modifications after issuance of the reporting requirement;

c. Plan the report to ensure that it accomplishes the desired results; including the actions to be taken by respondents and users of the report, necessary forms or formats to be used for input, and the procedures and equipment required to process the data and distribute the information to users.

d. Prepare specific and clear instructions for the preparation of the report so that respondents readily understand what data is required.

e. Ensure that all report forms, formats, or instructions soliciting personal information contain pertinent statements required by the Privacy Act of 1974. (See Handbook 18, Pt II, Chapter 12, and Pt V, Chapter 5);

f. Ensure that necessary clearances and approvals are obtained, including clearance by the Office of Public Inquiries (XA/PI,) particularly when a report establishes a file containing personal information on individuals;

g. Clear all internal AID reporting requirements, including requests for one-time reports, with IRM/PE;

h. Submit to IRM/PE all requests for proposed public and interagency reporting requirements subject to clearance by OMB and GSA;

i. Apply reports analysis and control standards to intra-office reporting requirements;

j. Maintain an inventory of intra-office reporting requirements and submit to IRM/PE upon request.

5. Respondent

a. Requests for reports and related information are subject to the same analysis and evaluation as other operational requirements involving the expenditure of funds and manpower. Respondents are responsible not only for initiating comments, suggestions, recommendations, and constructive criticisms of approved reports, but for doing so in a manner that can be readily evaluated by the requiring office. More specifically, respondents:

14E5a

(1) Determine if a request for a report has been assigned a report control symbol and has been properly authorized in accordance with procedures outlined in this chapter;

(2) Determine whether or not the prescribing directive(s) or instructions for the report are clear and complete;

(3) Examine available data to determine if the data requested can be obtained by the required due dates and can meet other requested specifications;

(4) Recommend improvements to reporting requirements;

(5) Establish a calendar for assuring timely submission of required reports.

b. Correspondence offering comments, suggestions, recommendations and criticism is to be directed to the office originating the reporting requirement, with a copy to IRM/PE.

14F. Reports Analysis

The following suggestions are provided for the use of requiring offices in establishing reporting requirements and for the management of Intra-office reporting requirements.

1. General Criteria

Each new or revised reporting requirement is analyzed to assure the proposed report:

a. Provides a basis for measuring performance, making and revising policy, performing the functions of the requiring office, or fulfilling some other valid need of the user office;

b. Is timely enough to be useful.

c. Is as effective and efficient as possible in the collection, transmission, processing, and utilization of data;

d. Does not duplicate other reporting requirements.

14F

2. Determining Reliability and Availability of Source Data

Every effort is made to determine if the proposed respondent is the proper source for providing the data requested. An effort is also made to determine whether or not the information requested is already available in the responding offices or must be gathered from another source, thus generating another reporting requirement.

3. Determining Internal Consistency

Requests for new or revised reporting requirements are analyzed to ensure, to the greatest extent possible, that requested data items are consistent with data contained in other AID reports; e.g., that data included in financial and statistical reports are based upon the same formulas, cover the same time periods; and are computed in the same manner as are program and other related reports; and that standard and generally accepted AID reporting or program terminology and coding systems are used.

4. Evaluating Cost

Reporting requirements are analyzed to determine if the investment of money and work hours is justified in comparison to the benefits derived in terms of increased efficiency and effectiveness. Some of the criteria used are: cost of preparing, reproducing, reviewing, and storing the report; proposed distribution, and feasibility of using existing reports.

5. Review of Requiring Directive and Method of Transmitting Data

a. Requiring Directive

The directive establishing a new or revised reporting requirement is reviewed to assure that the instructions clearly indicate why the report is required, who is to report, what is to be reported, when the report is due and the office or individual requiring the report. The directive shall also contain the report title, report control symbol, format, recommended data source, instructions for preparation, number of copies, the distribution, and whether negative responses are required.

b. Method of Transmitting Data

Instructions are reviewed to determine if the proposed method for transmitting requested information is the most economical and efficient.

14F5b

Whenever possible, reports are submitted on printed forms to assure that all items are covered and presented in a uniform format when received. See Chapter 5, Pt V of this handbook for additional information concerning the design of forms.

6. Reviewing Plans for Processing and Utilization of Data

Usually a number of reports are received in compliance with a reporting requirement. The recipient then must consolidate the information to meet the objective of the reporting requirements. Narrative reports that convey status, opinions, or general plans may not require a precise format and will be read for consensus only. Reports that provide specific data to be summarized or otherwise processed must meet more rigid format requirements. The method of processing the reported data must be reviewed to determine if the manner in which the data is being requested, both in format and procedure, meets the processing requirements. Will the data to be processed manually lend itself to the use of grids or charts for summarizing? Is the input form for ADP systems designed to facilitate the conversion of data to machine readable form?

14G. Reports Management

Reports management includes monitoring the initiation, revision, and discontinuance of reports; approving and disapproving of new and revised reports; and assigning report control symbols.

1. Assignment of Report Control Symbols

a. All recurring internal AID reports are assigned a report control symbol by IRM/PE. This symbol consists of a serial number preceded by one of the following key letters used to identify each of the two report groups: U - Mission reports to AID/W; and W - all other reports.

b. Missions and AID/W offices assign report control symbols to their internally managed intra-office reports, using the appropriate organization alphabetical symbol e.g., FM for Office of Financial Management, or PAN for USAID Panama, as part of the identification.

c. Congressional reporting requirements are identified by a nine- character report control symbol assigned by IRM/PE. The first four characters are CONG, followed by either an L for Legislatively required reports, an R for reports submitted at the request of a committee or member, or a P for reports which are Presidential determinations. The identifying letter is then followed by a four-digit sequence number.

14G1

d. Interagency report control numbers are assigned by the Office of Information Systems, Office of Information Resources Management of GSA. The coding structure for the interagency reports is a four-digit serial number followed by a three-letter abbreviation for the requiring agency, followed by a two-letter code for the report frequency.

2. Evidence of Approval

a. Assigned report control symbols are shown in the upper-right corner of the cover page of reports to indicate approval by IRM/PE. All communications concerning reports show the report's control symbol as part of the subject. Forms, directives, or instructions prescribing the use of reports should also cite the appropriate report control symbol.

b. Forms, directives, or other instructions, and communications prescribing the use of AID-required interagency and public reports must cite the interagency report number assigned by GSA or approval number assigned by OMB, to such reports.

3. Referral of Unauthorized Reporting Requests

Requests for recurring reports not bearing an AID reports symbol are referred to IRM/PE. Pending action by IRM/PE, initial compliance or noncompliance may be determined by the responding office, based on the apparent urgency, the nature of the data requested, and the source of the request. Requests from private organizations are referred to the Office of Public Affairs (OPA) for guidance regarding compliance or noncompliance. However, requests from private organizations which OPA determines to be valid and which are recurring reporting requirements are submitted to IRM/PE for reports management purposes.

4. Requests from Higher or Outside Authority

Requests from higher or outside authorities for establishing a new report, or expansion or revision of an existing report, must be brought to the attention of IRM/PE. New reporting requirements requested by higher or outside authorities are to be identified by the assignment of report control symbols.

5. Congressional Reports

Congressional reports, as defined in Section 14D11 are subject to the control provisions of this chapter. See Part II, Chapter 1, for

14G5

specific information regarding the responsibilities and procedures established by the Office of Legislative Affairs for the preparation and submission of these reporting requirements.

6. Exempt Reports

A final decision as to whether or not a report is exempt from the control provisions of this chapter is made by IRM/PE. Exempt reports include information requirements which could be interpreted as a report. Examples of exempt reports are:

a. Logs and operating documents;

b. Official reports of audit, including all accumulations, collection and reports used in audit reviews and reports;

c. Reports of personnel audit surveys prepared by specified personnel groups;

d. Formal reports of findings, recommendations, or actions prepared by ad hoc committees, survey teams, or boards appointed to inquire into and report on a specific matter;

e. Nominations or recommendations of individuals for all types of programs or awards; and

f. Narrative reports relating solely to the AID public affairs program. (See Handbook 18, Part I.)

7. Review of One-Time Reports

One-time reports, unless required by private U.S. citizens or another U.S. Government agency, are not subject to the full control provisions outlined in this chapter. Unusually large reports requiring Agency-wide compliance are to be brought to the attention of IRM/PE for review of methods for collecting and processing the resulting data.

8. Directives and Other Instructions which Initiate or Revise Recurring Reports

The concurrence of IRM/PE obtained prior to the issuance of any directive, instructions, or message which explicitly or implicitly require submission of, or revision to, a recurring report.

14H. Procedures for Submission of Requests for Clearance of Internal AID Reporting Requirements

Internal AID reporting requirements are those generally established by one AID/W Bureau or Office requiring the compliance of other Bureaus or Offices and/or overseas offices and Missions. The compliance may be in the form of a manually prepared report or one prepared with the assistance of automatic data processing equipment. Also included in this category are reporting requirements established by an AID/W office to meet requirements imposed on the Agency by the Congress or other Government agencies.

1. Requests for Clearance of New or Revised Recurring Reporting Requirements

a. A request for approval of a new or revised recurring report is submitted to IRM/PE using Form AID 3-198, Report Approval Application (Attachment 14A), together with a proposed form or format and draft directive or other instructions. Instructions for the completion of AID 3-198 are included in Attachment 14A. If the reporting requirement will utilize a printed form, AID or external, the applicable procedures outlined in Chapter 5, Forms Management, are also to be followed.

b. Upon receipt of form AID 3-198 and appropriate documentation, IRM/PE reviews the requirement to determine whether or not the request meets the applicable criteria set forth in this chapter.

c. After appropriate review and analysis, IRM/PE indicates approval or disapproval of the request on AID 3-198. If approved, a reports control symbol is assigned (see Section 14G1) and a copy of AID 3-198 is returned to the requiring office. If disapproved, IRM/PE returns a copy of AID 3-198 and informs the requiring office, in writing, of the reason for disapproval.

2. Requests for Approval of One-Time Internal AID Reports

A request for approval of a one-time internal AID report as defined in Section 14G7 is made by submitting the requiring instructions and report format to IRM/PE for review. Submission of AID 3-198 is not required.

14I. Procedures for Submission of Requests for Clearance of Public Reports

This section contains the external regulations applicable to public reports and guidance for the submission of a request to obtain clearance from the Office of Information and Regulatory Affairs, Office of Management and Budget, for establishing or revising a public report. Requiring members of the business community, educational institutions, or the general public to provide information requires compliance with the Privacy Act of 1974, the Freedom of Information Act, and the Public Reports Act. When a public reporting requirement is in the planning stages, requiring offices are advised to consult with IRM/PE on how to best structure reports to comply with applicable regulations.

14I

1. Applicable External Regulations

a. Paperwork Reduction Act of 1980 - 5 CFR 1320-Controlling Paperwork Burdens on the Public

The Paperwork Reduction Act of 1980 has the following objectives: to reduce the paperwork burden imposed by the Federal Government; to reduce the cost of government information processing activities; to collect only as much information as is needed and can be used, and to use it effectively; to eliminate inconsistencies wherever possible among governmental policies dealing with information; to make more effective use of computers and telecommunication technology to make government operations more efficient; and to establish safeguards protecting the confidentiality concerns of individuals and enterprises.

b. Office of Management and Budget (OMB) - 5 CFR 1320, Controlling Paperwork Burdens on the Public

The purpose of 5 CFR 1320 is to implement the provisions of the Paperwork Reduction Act of 1980 concerning collections of information. No agency is to conduct or sponsor the collection of information required by law, or necessary to obtain a benefit from 10 or more persons without prior approval from the Office of Management and Budget. Any collection of information submitted to nine or fewer persons, must contain a statement that it is not subject to OMB review under the Act. No person is subject to any penalty for failing to maintain or provide information, if the information request does not display a current control number assigned by OMB. An information collection request includes the use of written report forms, application forms, application forms, schedules, questionnaires, reporting or recordkeeping requirements, contracts, agreements, policy statements, plans, rules or regulations, planning requirements, circulars, directives, instructions, bulletins, requests for proposals or other procurement requirements, interview guides, disclosure requirements, labeling requirements, telegraphic or telephonic requests, and standard questionnaires used to monitor compliance with agency requirements.

2. Request for Clearance of New Plans or Report Forms within the U.S.

a. To request OMB approval of a new plan or report form, four copies each of the following must be submitted to IRM/PE at least 60 days prior to the intended implementation date: SF 83, Request for OMB Review (Attachment 14B1); any instructions to be sent to the respondents; the proposed information collection item (forms, formats, etc.); supporting statement, and the regulatory authority for collecting the information, if any. The SF 83A, Instructions for Requesting OMB Review Under Executive Order 12291 or Approval of a Collection Information Under the Paperwork Reduction Act and 5 CFR 1320 (Attachment 14B2) contains detailed instructions on submitting a complete clearance package. The supporting statement is addressed on page 4 of SF 83A and each of the items must be answered either with the requested information or with 'NA'

14I2a

if that item does not apply to the information collection. If the reporting requirement will utilize a printed AID form, the procedures in Chapter 5 are to also be followed.

Special consideration is to be given to elderly, visually impaired, and non-English-speaking persons when designing forms for use outside of the Agency in accordance with the information contained in GSA Bulletin FPMR B 102, issued June 24, 1980.

b. Upon receipt of the appropriate documentation, IRM/PE reviews the requirement to determine whether or not the request meets the criteria established by OMB.

c. If, after review, it is determined that the request meets the OMB criteria, the Agency Clearance Officer in IRM/PE signs the SF 83 and forwards the documentation to OMB for action. A copy of the OMB action notice is sent to the requiring office after action by OMB has been completed. If the request does not meet the OMB criteria, IRM/PE notifies the requiring office.

3. Request for Information Collections Overseas

a. Under the provisions of 5 CFR 1320, Controlling Paperwork Burdens on the Public, AID may conduct generic information collections overseas. The Agency is required to display the appropriate OMB control number and expiration date on the front of each collection instrument. AID has a three-year (renewable) approval to make collections overseas within the following groups:

-- Health and Population Programs (OMB # 0412-0528, expires 7/31/88);

-- Education and Human Resources Programs (OMB # 0412-0529, expires 7/31/88);

-- Energy, Private and Voluntary Organizations, and Selected Development Activities (OMB # 0412-0526, expires 7/31/88)

-- Agriculture, Rural Development, and Nutrition (OMB # 0412-0527, Expires 7/31/88); and

-- All other AID Data Collections created in and conducted outside the United States (OMB # 0412-0525, expires 7/31/88).

Required management collection procedures include that:

"(1) the collection of information is the least burdensome necessary for the proper performance of the agency's functions to comply with legal requirements and achieve program objectives;

14I3a

(2) the collection of information is not duplicative of information otherwise accessible to the agency; and

(3) the collection of information has practical utility."

To make a collection of information overseas of data designed in AID/W, determine which of the above groups that your collection falls in, place the OMB number and expiration date in a prominent position on the collection instrument, and forward it to the field for collection.

b. The requiring Bureau/Office is responsible for developing an internal system for implementing the above requirements. The system must include a central index to facilitate document recovery. The Bureau/Office must:

(1) Name a contact person to respond to inquiries about the questionnaires generated by the Bureau/Office for use overseas;

(2) Advise IRM/PE of the name and telephone number of the contact person;

(3) Place the proper generic number and expiration date on the collection instrument before dispatching it to the overseas area for collection;

(4) Maintain a copy of the data collection and results in an appropriate place. If the collection is project specific, a copy should be placed in the official project portfolio; and,

(5) Provide a copy of the collection instruments on request.

c. There is no requirement to maintain a file copy for OMB inspection of questionnaires <u>developed and collected in the field</u>.

d. As provided in Section 14I2 above, IRM will coordinate with OMB to obtain proper approval for information collections that do not fall under the generic coverage.

4. <u>Requests for Clearance of Revised Information Collections</u>

A request for OMB approval of a revised information collection item is made by following the same procedures outlined in Section 1412.

5. <u>Requests for Extension of OMB Approval</u>

Extension of OMB approval is requested by the requiring office, after notification of an upcoming expiration by IRM/PE, at least 2 months prior to the expiration date, following the same procedures outlined in Section 14I2.

14J Procedures for Submission of Requests for Clearance of Interagency Reporting Requirements

Requiring offices initiating new programs and major policy changes involving interagency reporting requirements are to request assistance from IRM/PE in defining and assessing related reporting requirements. Such requests are to be made at the earliest practical opportunity in the planning of new programs and major policy changes to assure development of cost estimates and appropriate interagency involvement and clearance.

1. Federal Property Management Regulations, 41 CFR Subpart 101-11.11 - Interagency Reports Management Program

This regulation, dated July 1973, sets forth the procedures to be followed by agencies in the management of interagency reporting requirements, including obtaining prior approval of the General Services Administration (GSA) for such reports.

2. Requests for Clearance of New Reporting Requirement

a. A request for clearance of an interagency reporting requirement is submitted to IRM/PE 60 days prior to the effective date of the requirements using SF 360, Request for Clearance of an Interagency Reporting Requirement (Attachment 14C), together with supporting justification, including cost estimates, the directive prescribing, the reporting requirement, and a proposed form or format to be utilized. Instructions for completion of SF 360 and preparation of supporting documentation are contained in Attachment 14C. If the requirement will utilize a printed AID form, the procedures outlined in Chapter 5 are also followed.

b. If, after review, IRM/PE determines the request meets the GSA criteria, the SF 360 is signed by the AID Interagency Liaison Officer (IRM/PE) and forwarded to GSA for action. One copy of SF 360 is returned to the requiring office after action by GSA has been completed. If the request does not meet the GSA criteria, IRM/PE notifies the requiring office.

3. Request for Clearance of Revised Reporting Requirements

A request for clearance of a revised reporting requirement is submitted by following the same procedures outlined in 14J2. If the proposed revision is minor, IRM/PE is consulted for advice as to the extent of supporting documentation required.

4. Request for Clearance of Plans to Obtain Information to Prepare Statistical Compilations of General Public Interest

A request for clearance of an interagency reporting requirement which necessitates OMB approval because the information to be collected is to be used for statistical compilations of general public interest, or ncessitates collection of information from the public by responding agencies, is submitted to IRM/PE following the procedures outlined above.

14J

5. Request for Extension of GSA Approval

Extension of GSA approval is requested by the requiring office after notification of an upcoming expiration by IRM/PE at least 2 months prior to the expiration date. If no change other than the extension is requested, the requiring office submits SF 360 to IRM/PE.

6. Appeal Procedure

A requiring office or responding agency may appeal an interagency clearance or waiver decision made by GSA. The reason for the appeal is stated in writing and submitted to IRM/PE for transmittal to GSA. GSA reviews the appeal and forwards it, with a recommendation, to OMB for resolution.

14K. Reports Inventory

1. IRM/PE maintains an inventory of all recurring reports required by an AID Bureau, Office, or Mission. Listings of reports in the inventory are contained in Appendix B as follows: Part I - Internal Reports - A. - AID/W Recurring Reports, B. - Mission Recurring Reports to AID/W; Part II - Public Reports; Part III - Interagency Reports; and Part IV - Congressional Reports.

2. Missions are to prepare a listing of their internally controlled reports to use in conjunction with Appendix B, in determining their total reporting requirements.

3. AID/W Bureaus and Offices are to maintain an inventory of their Intra-office reporting requirements and provide a copy to IRM/PE.

14L. Availability of Referenced Forms

The following AID Standard and Optional Forms cited in this Chapter (and attachments) are available from the AID/W Distribution Branch, SER/MO/PM/D:

AID 3-198	- Reports Approval Application
SF 360	- Request for Clearance of an Interagency Reporting Requirement
OF 101	- Summary Worksheet for Estimating Reporting Costs

SF 83, Request for OMB Review and SF 83A, Instructions for Requesting OMB Review Under Executive Order 12291 or Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320, are available from the Forms Management Office (IRM/PE).

ATTACHMENT 14A

INSTRUCTIONS FOR COMPLETING AID 3-198, REPORTS APPROVAL APPLICATION

Complete original and one copy. Forward with appropriate supporting documentation to IRM/PE.

Any item not listed below is considered to be self-explanatory and therefore, not included. Assistance in completing this form will be provided by IRM/PE upon request.

Item No.

1. Exact Title of Report - Enter a brief but descriptive title.

2. Report Control Symbol - If request is for a new report, IRM/PE will complete upon approval of the application. If request is for a revised report, enter the symbol previously assigned by IRM/PE

8. Date of Issuance - Enter date on which the report is ready for reproduction or distribution (e.g., a report covering the period March 1 through March 31 may be issued April 5).

11. Preparing Offices - Each of these may be identified by category, if appropriate (e.g., all Bureaus, all Missions, all LA Missions, AID contractors, etc.)

12. Recipients of Report

    A. Office - Each of these may be identified by category, if appropriate (e.g., all Bureaus, all Missions, all LA Missions, AID contractors, etc.)

    B. Action, C. Reference, D. Information - Enter the number of copies received in the column(s) which best describes the use made of this report.

    E. Distribution List - When recipients are identified by category, indicate the official AID Distribution List number, if applicable.

19. E. Estimated Production Cost - If the report is to be reproduced after completion, give the best estimate of cost, and indicate whether the reproduction will be done within AID or by an outside contractor.

21. Concurrences - The initiating office is responsible for obtaining clearances of any other offices directly concerned with the reporting requirement.

22. To be completed by IRM/PE

REPORT APPROVAL APPLICATION

INSTRUCTIONS: Submit in duplicate to the Reports Management Official (MS/AS/ISS). Attach a copy of the applicable directive and/or instructions, report format or proposed form, and the authorizing document. A copy will be returned to you indicating final action by MS/AS/ISS. See Handbook 18, Chapter 4, Part V for further instructions.

1. Exact Title of Report

2. Report Control Symbol

3. Type of Content
- ☐ NARRATIVE
- ☐ COMBINATION
- ☐ STATISTICAL

4. Requiring Directive/Instructions

5. Request for ("X' appropriate box(es))

☐ NEW ☐ TEMPORARY Proposed expiration date ____/____/____ ☐ ONE-TIME Proposed expiration date ____/____/____

☐ REVISED (explain what changes are proposed)

6. Frequency (daily, monthly, etc.)

7. "As of" Date or Period Covered

8. Date of Issuance

9. Method of Transmission (form no., memo, etc.)

10. Is Data Processing Involved in the Preparation of this Report?

☐ YES ☐ NO

11. Preparing Offices (indicate Missions, offices, etc. who submit this report)

12.A RECIPIENTS OF REPORT	PURPOSE Enter number of copies for each as appropriate			E. DISTRIBUTION LIST
	B. ACTION	C. REF.	D. INFO	

13. Description of Data to be Reported

14. Source of Information Contained in this Report (cite by no. and title other reports, data processing printouts, files, or other source documents from which this information is obtained)

15. Related Form Number

16. OMB Approval Number

17. Interagency Report Number

18. If this Report is Used as a Source in Generating Other Report(s) in Whole or in Part, Cite Number and Title of Such Report(s)

19. Cost Factors

A. Estimated persondays for preparation (including related research) for one report by one:

AID/W Office: Professional _____ Clerical _____

Mission: U.S. Professional _____ U.S. Clerical _____

Local Professional _____ Local Clerical _____

B. Number of offices and Missions preparing report _____

C. Average number of pages in one report submission _____

D. Number of copies of report produced _____

E. Estimated production cost (including printing and distribution) _____ BY: ☐ Contract ☐ A.I.D.

20. Justification: Include information as to how frequently and for what purpose the data elements in this report are used. Explain in detail how this report fits into the total system in question and at what stage of the program cycle the information is used (e.g., programming, implementation, evaluation).

APPROVALS			
INITIATING OFFICE	TYPED NAME	INITIALS	DATE
CONCURRENCES			
REPORTS MANAGEMENT OFFICIAL			
	☐ Approved ☐ Approved for Period NTE ☐ Disapproved		
	Comments		

ATTACHMENT 14B(1)
18-III:15

Standard Form **83**
(Rev. September 1983)

Request for OMB Review

Important

Read instructions before completing form. Do not use the same SF 83 to request both an Executive Order 12291 review and approval under the Paperwork Reduction Act.

Answer all questions in Part I. If this request is for review under E.O. 12291, complete Part II and sign the regulatory certification. If this request is for approval under the Paperwork Reduction Act and 5 CFR 1320, skip Part II, complete Part III and sign the paperwork certification.

Send three copies of this form, the material to be reviewed, and for paperwork—three copies of the supporting statement, to:

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

PART I.—Complete This Part for All Requests.

1. Department/agency and Bureau/office originating request

2. Agency code ___ ___ ___ ___

3. Name of person who can best answer questions regarding this request

Telephone number ( )

4. Title of information collection or rulemaking

5. Legal authority for information collection or rule *(cite United States Code, Public Law, or Executive Order)*

_____USC _____, or _____

6. Affected public *(check all that apply)*

1 ☐ Individuals or households
2 ☐ State or local governments
3 ☐ Farms
4 ☐ Businesses or other for-profit
5 ☐ Federal agencies or employees
6 ☐ Non-profit institutions
7 ☐ Small businesses or organizations

PART II.—Complete This Part Only if the Request is for OMB Review Under Executive Order 12291

7. Regulation Identifier Number (RIN)

___ ___ ___ ___ — ___ ___ ___ ___, or, None assigned ☐

8. Type of submission *(check one in each category)*

Classification
1 ☐ Major
2 ☐ Nonmajor

Stage of development
1 ☐ Proposed or draft
2 ☐ Final or interim final, with prior proposal
3 ☐ Final or interim final, without prior proposal

Type of review requested
1 ☐ Standard
2 ☐ Pending
3 ☐ Emergency
4 ☐ Statutory or judicial deadline

9. CFR section affected

_____CFR _____

10. Does this regulation contain reporting or recordkeeping requirements that require OMB approval under the Paperwork Reduction Act and 5 CFR 1320? . . . . . ☐ Yes ☐ No

11. If a major rule, is there a regulatory impact analysis attached? . . . . . 1 ☐ Yes 2 ☐ No
If "No," did OMB waive the analysis? . . . . . 3 ☐ Yes 4 ☐ No

Certification for Regulatory Submissions

In submitting this request for OMB review, the authorized regulatory contact and the program official certify that the requirements of E.O. 12291 and any applicable policy directives have been complied with.

Signature of program official

Date

Signature of authorized regulatory contact

Date

12. ***(OMB use only)***

PART III.—Complete This Part Only If the Request is for Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320.

13. Abstract—Describe needs, uses and affected public in 50 words or less

14. Type of information collection *(check only one)*

Information collections not contained in rules

1 ☐ Regular submission

2 ☐ Emergency submission *(certification attached)*

Information collections contained in rules

3 ☐ Existing regulation *(no change proposed)*

4 ☐ Notice of proposed rulemaking (NPRM)

5 ☐ Final, NPRM was previously published

6 Final or interim final without prior NPRM

A ☐ Regular submission

B ☐ Emergency submission *(certification attached)*

7. Enter date of expected or actual Federal Register publication at this stage of rulemaking *(month, day, year)*: _____

15. Type of review requested *(check only one)*

1 ☐ New collection

2 ☐ Revision of a currently approved collection

3 ☐ Extension of the expiration date of a currently approved collection without any change in the substance or in the method of collection

4 ☐ Reinstatement of a previously approved collection for which approval has expired

5 ☐ Existing collection in use without an OMB control number

16. Agency report form number(s) *(include standard/optional form number(s))*

17. Annual reporting or disclosure burden

1 Number of respondents . . . . . _____

2 Number of responses per respondent . . . . . _____

3 Total annual responses *(line 1 times line 2)* . . . _____

4 Hours per response . . . . . _____

5 Total hours *(line 3 times line 4)* . . . . . _____

18. Annual recordkeeping burden

1 Number of recordkeepers . . . . . _____

2 Annual hours per recordkeeper. . . . . _____

3 Total recordkeeping hours *(line 1 times line 2)* . . _____

4 Recordkeeping retention period . . . . . _____ years

19. Total annual burden

1 Requested *(line 17-5 plus line 18-3)* . . . . . _____

2 In current OMB inventory . . . . . _____

3 Difference *(line 1 less line 2)* . . . . . _____

Explanation of difference

4 Program change . . . . . _____

5 Adjustment . . . . . _____

20. Current *(most recent)* OMB control number or comment number

21. Requested expiration date

22. Purpose of information collection *(check as many as apply)*

1 ☐ Application for benefits

2 ☐ Program evaluation

3 ☐ General purpose statistics

4 ☐ Regulatory or compliance

5 ☐ Program planning or management

6 ☐ Research

7 ☐ Audit

23. Frequency of recordkeeping or reporting *(check all that apply)*

1 ☐ Recordkeeping

Reporting

2 ☐ On occasion

3 ☐ Weekly

4 ☐ Monthly

5 ☐ Quarterly

6 ☐ Semi-annually

7 ☐ Annually

8 ☐ Biennially

9 ☐ Other *(describe)*: _____

24. Respondents' obligation to comply *(check the strongest obligation that applies)*

1 ☐ Voluntary

2 ☐ Required to obtain or retain a benefit

3 ☐ Mandatory

25. Are the respondents primarily educational agencies or institutions or is the primary purpose of the collection related to Federal education programs? ☐ Yes ☐ No

26. Does the agency use sampling to select respondents or does the agency recommend or prescribe the use of sampling or statistical analysis by respondents? . . . . . ☐ Yes ☐ No

27. Regulatory authority for the information collection

_____ CFR _____ ; or _____ FR _____ ; or, Other *(specify)*: _____

Paperwork Certification

In submitting this request for OMB approval, the agency head, the senior official or an authorized representative, certifies that the requirements of 5 CFR 1320, the Privacy Act, statistical standards or directives, and any other applicable information policy directives have been complied with.

Signature of program official	Date

Signature of agency head, the senior official or an authorized representative	Date

Standard Form 83A
(Revised September 1983)
Instructions for Standard Form 83
Request for OMB Review
Instructions for Requesting OMB Review Under Executive Order 12291 or Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320

General Instructions

For requests for review under E.O. 12291, complete Parts I and II of the SF 83, sign the Certification for Regulatory Submissions and send three copies of the completed SF 83, three copies of the draft regulation and three copies of any supporting material (including a Regulatory Impact Analysis if required) to OMB.

For requests for approval of a collection of information, complete Parts I and III (skip Part II), sign the Paperwork Certification and send three copies of the completed SF 83 and three copies of the supporting statement and forms, questions, or other instruments for which approval is requested, to OMB. The submission must include the revelant portion of any statute, regulation, handbook or other document that establishes a recordkeeping, reporting, or disclosure requirement, and copies of the notice submitted to the ***Federal Register*** informing the public that OMB approval is being sought. (This notice is not required for collections of information in proposed rules submitted for OMB review under 5 CFR 1320.13.)

OMB will not accept a submission unless all entries in Part I and, as appropriate, Part II or Part III are completed and the SF 83 has been properly signed. Submissions for E.O. 12291 review must be signed by the appropriate program official and by the official responsible for reviewing submissions of regulations to OMB (OMB's authorized regulatory contact) or that person's designee. Submissions for approval of a collection of information must be signed by the appropriate program official and by either the agency head, the Senior Official designated under the Paperwork Reduction Act and 5 CFR 1320.8, or that person's designee.

Requests should be submitted to:

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

Note: *Do not request review under E.O. 12291 and approval under the Paperwork Reduction Act and 5 CFR 1320 on the same SF 83.*

Instructions for Part I

1. Department/Agency and Bureau/Office Originating Request.—Provide both the name of the department or agency and the name of the bureau or office within the department which is issuing the regulation or proposing the collection of information.

2. Agency Code.—OMB has assigned a four digit numerical code to each agency and will supply it upon request.

3. and 4.—Self explanatory.

5. Specific legal authority.—Cite title and section of the United States Code. If a regulation or a collection of information is authorized by more than one statute or section, cite the principal legal authority.

If a regulation or a collection of information is mandated or authorized by a law which has not yet been codified into the United States Code, cite the Public Law number. If a regulation or a collection of information is authorized only by Executive Order, cite the E.O. number.

6. Affected Public.—Check all categories that apply. Note that if a significant effect on small business is predicted, the Regulatory Flexibility Act requires agencies to evaluate alternatives to mitigate this impact and 5 CFR 1320.6(h) requires agencies to take all practical steps to develop separate and simplified collection of information requirements for small businesses and other small entities. SBA's Office of Advocacy is available to assist agencies in evaluating the impact of their proposal on small business. OMB may ask for additional information on the specific industries affected (e.g., by Standard Industrial Classification) or other revelant data.

Instructions for Part II
General Instructions

Executive Order 12291 defines a regulation as any "agency statement of general applicability and future effect designed to implement, interpret, or prescribe law or policy, or describing the procedure or practice requirements of an agency." This includes more than proposed and final rules. Statements of policy that appear in the ***Federal Register*** as notices rather than rules, as well as guideline documents and policy statements that are not published in the ***Register,*** are to be submitted for OMB review if they set or interpret agency policy.

The following are not subject to OMB E.O. 12291 review:

a. Regulations issued by the—
- General Accounting Office,
- Federal Election Commission,
- Independent regulatory commissions as defined in 44 U.S.C. 3502(10),
- Facilities and laboratories owned by the Federal Government but operated by contractors, and
- Governments of the District of Columbia, and U.S. territories and possessions.

b. Regulations issued with respect to a military or foreign affairs function of the United States.

c. Regulations related to internal agency organization, management or personnel.

Specific Instructions

7. Regulation Identifier Number (RIN).—This is the number that the Regulatory Information Service Center assigns to a regulatory action when it is submitted for publication in the ***Unified Agenda of Federal Regulations.*** If a RIN has not been assigned to this regulatory action, check "None assigned."

8. Type of Submission (check one in each category).—

Classification

1. and 2.—Check "major" if the regulation is likely to result in:

An annual effect on the economy of $100 million or more; or

A major increase in costs or prices for consumers, individual industries, Federal, State, or local governments, or geographic regions; or

Significant adverse effects on competition, employment, investment, productivity, innovation, or on the ability of the U.S. based enterprises to compete with foreign based enterprises in domestic or export markets.

Otherwise, check "nonmajor."

Stage of Development

Self explanatory for regulations issued through informal rulemaking.

A guideline document or other regulation which is not issued through informal rulemaking should be submitted as:

1. Proposed or draft.—If, following OMB review, the regulation will be circulated outside the agency for comment, and then revised and resubmitted to OMB.

2. Final or interim final, with prior proposal.—If an earlier version of the regulation had been reviewed by OMB, circulated for outside comment, revised, and is now ready for final issuance.

3. Final or interim final, without prior proposal.—If the regulation will proceed directly from internal agency review to OMB for review before final issuance without being circulated for outside comment and appropriate revision.

Type of Review Requested

1. Standard.—Refers to the normal process of submitting a proposed or final regulation to OMB for review under section 3 of E.O. 12291.

2. Pending.—Refers to OMB's review, under section 7 of E.O. 12291, of rules which were issued in final (or proposed) form before February 17, 1981, and which are about to take effect (or become final). Agencies should review section 7, paragraphs (b), (d), and (f) of the Executive Order for further instructions.

3. Emergency.—Refers to OMB's review, under section 8(a)(1) of E.O. 12291, of regulations which the agency has chosen to publish without prior OMB review in order to respond to an emergency situation.

4. Statutory or judicial deadline.—Refers to OMB's review, under section 8(a)(2) of E.O. 12291, of regulations which the agency has chosen to publish without prior OMB review in order to avoid violating a statutory or judicial deadline.

9. CFR Section Affected.—Cite as specifically as possible the section of the ***Code of Federal Regulations*** which will be affected by the regulation being submitted. If the regulation affects more than one section of the CFR, cite to the principal section affected. If the regulation is not to be published in the ***Federal Register*** or otherwise codified into the CFR (and therefore will not actually revise CFR text), cite the CFR section which is most closely related to the submission.

10. Self explanatory.

11. If a Major Rule, Is There a Regulatory Impact Analysis Attached?—A regulatory impact analysis must accompany the submission of a major regulation unless OMB has waived the analysis.

12. (OMB USE ONLY)

Instructions for Part III

General Instructions

These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1980. If you have any questions, contact the OMB Desk Officer for your agency.

Specific Instructions

13. Abstract.—Provide a statement of not more than 50 words covering the agency's need for the information, the uses to which it will be put, and a brief description of the respondents.

14. Type of Information Collection.—Check only one category. If the collection of information is not explicitly set forth in a rule, check either 1 or 2. Regular submissions (1) are those which are reviewed under 5 CFR 1320.12. Emergency submissions (2) must include the certification required by 5 CFR 1320.17(a). In addition, agencies requesting emergency clearance must provide the information required by 1320.17(b) and (c). If the submission does not meet the requirements for an emergency clearance, the agency's Clearance Officer may ask the OMB Desk Officer for an expedited review.

If the collection of information is explicitly set forth in a rule, check one of the categories 3 through 6. If it is in an existing regulation to which no change is proposed, check 3. If it is submitted with a Notice of Proposed Rulemaking (NPRM) under 5 CFR 1320.13, check 4. If it is contained in a final regulation for which an NPRM had been published, check 5. If the collection of information is contained in a final or interim final rule for which an NPRM had not been published, check 6A or 6B. (See above for a discussion of material to be submitted with requests for emergency clearances.)

15. Type of Review Requested (check only one category).—

1. New.—If this collection of information has not previously been conducted or sponsored by the agency.

2. Revision.—If this collection of information is currently approved by OMB, and the agency wishes to make a substantive or material change in the collection, its burden estimate, or the use to which the information is to be put.

3. Extension.—If this collection of information is currently approved by OMB, and the agency wishes only to extend the approval past the currently assigned expiration date without making any other change in the collection of information or its burden estimate.

4. Reinstatement.—If this collection of information previously held OMB approval, but the approval has expired or was withdrawn before this submission was made.

5. Existing collection in use without an OMB control number.—If this collection of information is currently in use but does not have a currently valid OMB control number.

16. Agency Report Form Number(s).—Supply any identifying numbers or codes that the agency has assigned to the collection of information. If the instrument is a Standard or Optional Form, or is being proposed for such use, the submission to OMB by the agency must be through the General Services Administration (see 5 CFR 1320.15 for further information about this procedure).

17. and 18. Annual Reporting or Disclosure Burden, and Annual Recordkeeping Burden.—The definition of burden, and a discussion of burden elements, is contained in 5 CFR 1320.7(b). In general, burden includes, but is not limited to, the time required to:

- Read or hear any instructions;
- Generate the information;
- Process, compile, and review the information; and
- Record, disclose, or report the information.

The burden of making any required reports or disclosures should be reported at question 17 and should include the burden of keeping records necessitated by the disclosure or report. The burden of keeping any required records not necessitated by a disclosure or reporting requirement should be reported at question 18.

18-4.—If the recordkeeping retention period is not specified as a number of years - for example, if records are to be retained for the life of a given machine - enter a point estimate (not a range) at 18-4, and explain the estimate in the supporting statement.

For collections of information contained in ***new proposed rules,*** enter zero (0) on the SF 83 and describe the burden to be imposed, if the regulation becomes final, in the supporting statement. If the ***proposed rule revises*** an existing collection of information, enter the burden level for the existing requirement on the SF 83 and explain the burden impact of the revision in the supporting statement. In both cases, at the time of publication of the final regulation, the agency must inform OMB of the actual burden of the collection of information.

If several collections of information are submitted to OMB for approval in a single package (covered by an SF 83), describe the burden for each collection in the supporting statement, and provide an estimate of the burden for the entire submission at questions 17 and 18.

19. Total Annual Burden.—

1. Enter the sum of the annual reporting burden (17-5) and the annual recordkeeping burden (18-3) on this line.

2. Enter the burden (hours) currently approved by OMB for this collection of information.

- Enter zero (0) for any collection whose OMB approval has expired.
- Enter zero (0) for a new submission.

3. Enter the difference between 19-1 and 19-2 on this line. The difference, if any, must be explained at lines 19-4 and/or 19-5.

4. Program Change.—is a change in burden which is the result of deliberate action by the Government. Examples of program changes are:

- Adding, dropping, or changing questions.
- Changing the frequency of a collection of information.
- Requiring or requesting more, fewer, or different respondents to record, retain, disclose, or report information.
- Changing eligibility requirements for an assistance program in a way that changes the number of applicants or potential applicants for the benefit.

5. Adjustment.—is a change in burden which is not the result of deliberate agency action. Examples of adjustments are:

- Corrections of errors in burden estimates.
- Corrections of the record to provide an estimate of the burden for a collection of information currently in use without an OMB control number.
- Reestimates in burden due to factors outside the agency's control, such as population changes , a change in the number of firms in an industry, or a change in use because a different number of respondents decide to respond or to make use of the collection of information instrument.

20. Current (or most recent) OMB Control Number or Comment Number.—If the collection of information had previously received or now has an OMB control number or comment number, enter the number. If the collection has had different numbers, or has had both a control number and a comment number, enter the number that was most recently assigned.

21. Requested Expiration Date.—Enter the month and year through which OMB approval is requested. The date should be no more than three years from the expected date of OMB approval. For "emergency" approvals submitted under the provisions of 5 CFR 1320.17 the requested date should not be more than ***90 days*** after the date of OMB's receipt of the agency's submission.

22. Purpose.—

1. Application for benefits.—Is a collection of information which a person completes in order to participate in, receive, or qualify for a grant, financial assistance, or other benefit (including employment) from a Federal agency or program.

2. Program evaluation.—Is a formal assessment, through objective measures and systematic analysis, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects. It is used to assist internal agency management and policy making.

3. General purpose statistics.—Are data collected chiefly for use by the public or for general government use, without primary reference to the policy or program operations of the agency collecting the data. This category should also be used to indicate activities required to design, manage, or evaluate general purpose statistical programs.

4. Regulatory or compliance.—Are collections of information undertaken for the purpose of measuring or enforcing compliance with laws or regulations. The category includes collections of information incidental to regulation, such as applications for waiver and exemptions. Applications for licenses, certificates, and the like, are also included in this category.

5. Program planning or management.—*Includes all collections of information (other than program evaluation and audits) relating to progress reporting and grants management, financial and supply management, procurement and quality control, and other collections of administrative information that do not fit in any other category. This category also includes surveys and other collections of information used to develop new regulations or to review existing regulations.*

6. Research.—Refers to collections of information to further the course of scientific or medical research, rather than for a specific program purpose.

7. Audits.—Refers to collections of information conducted for the purpose of verifying the accuracy of accounts and records.

23. Frequency of Recordkeeping or Reporting.—

1.—If the collection of information request or requirement explicitly includes a recordkeeping requirement, check this item. If the collection of information also includes a disclosure or reporting component, check the appropriate item 2 through 9.

2 through 9.—For collections of information that involve reporting, check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, check "on occasion" (item 2). Also check item 2 for all disclosure requirements.

24. Respondent's Obligation to Reply.—

1. Voluntary.—Means that response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.

2. Required to obtain or retain a benefit.—Means that the response is elective, but is required to obtain or retain a benefit. This includes licensing and permit requirements.

3. Mandatory.—Means that the respondent must reply or face civil or criminal sanctions. OMB will recognize a collection of information as being mandatory only if a statute expressly:

- Requires respondents to provide the information, or
- Authorizes an agency to require the respondents to provide the information.

If more than one status applies (for example, the first page of a form is mandatory but the second page is optional), check the box which corresponds to the strongest obligation to respond. (Mandatory is the strongest obligation, and voluntary is the weakest.)

25. Self explanatory.

26. Does the Agency Use Sampling to Select Respondents or Does the Agency Recommend or Prescribe the Use of Sampling or Statistical Analysis by Respondents?—Check "Yes" if information is collected from a subset of all potential respondents on the basis of a selection made by the agency, and the results are used to infer the characteristics of the whole from the sample. Also check "Yes" if the respondents are asked or required to use similar sampling or other statistical techniques in generating or collecting the information requested or required by this collection.

27. Regulatory Authority for the Information Collection.—If the regulatory authority is contained in an existing regulation, cite as specifically as possible to the principal section of the ***Code of Federal Regulations*** which states the requirement. If the requirement is contained in a regulation that has not yet been codified into the CFR, cite the final rule and provide the date it appeared in the ***Federal Register.***

A supporting statement, as described on page 4, must accompany each request for approval of a collection of information.

Supporting Statement for Requests for OMB Approval Under the Paperwork Reduction Act and 5 CFR 1320

General Instructions

A supporting statement must accompany each request for approval of a collection of information. The statement must be prepared in the format described below, and all statements must contain the information specified in Section A below . If an item is not applicable, provide a brief explanation. If Section B does not apply, indicate that the collection does not employ statistical methods.

OMB reserves the right to require the submission of additional information with respect to any request for approval.

Specific Instructions

A. Justification.—Requests for approval shall:

1. Explain the circumstances that make the collection of information neccessary. Include identification of any legal or administrative requirements that necessitate the collection.

A copy of the appropriate section of each statute and of each regulation mandating or authorizing the collection of information should be attached to the supporting statement.

2. Indicate how, by whom, and for what purpose the information is to be used and the consequence to Federal program or policy activities if the collection of information was not conducted.

3. Describe any consideration of the use of improved information technology to reduce burden and any technical or legal obstacles to reducing burden.

4. Describe efforts to identify duplication.

5. Show specifically why any similar information already available cannot be used or modified for use for the purpose(s) described in 2.

6. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.

7. Describe the consequence to Federal program or policy activities if the collection were conducted less frequently.

8. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with the guidelines in 5 CFR 1320.6.

9. Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

Consultation with representatives of those from whom information is to be obtained, or those who must compile records, should occur at least once every three years -- even if the collection of information activity is the same as in prior periods. There may be circumstances that mitigate against consultation in a specific situation. These circumstances should be explained in the supporting statement.

In the supporting statement, provide:

a. The names and telephone numbers of those consulted and the year in which the consultation took place. Indicate the agencies, companies, State or local governments, or other organizations represented by those consulted.

b. A summary of any major problems that could not be resolved during consultation.

c. A description of other public contacts and opportunities for public comment, and a summary of the comments received.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

12. Provide estimates of annualized cost to the Federal Government and to the respondents. Also provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without the paperwork burden.

13. Provide estimates of the burden of the collection of information. The statement should:

- Provide number of respondents, frequency of response, annual burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not make special surveys to obtain information on which to base burden estimates. Consultation with a few potential respondents is desirable. If the burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated burden, and explain the reasons for the variance.
- If the request for approval is for more than one form, provide burden estimates for each form for which approval is sought and summarize the burdens on the SF 83. If only one form is submitted, you need not duplicate the information entered on the SF 83.
- If the proposed collection of information was not included in the agency's Information Collection Budget (ICB) or if the burden shown on the SF 83 is different from that in the ICB, explain the difference.

14. Explain reasons for changes in burden, including the need for any increase.

15. For collections of information whose results are planned to be published for statistical use, outline plans for tabulation, statistical analysis, and publication. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

B. Collections of Information Employing Statistical Methods.—Descriptions of collections of information submitted for approval that employ statistical methods shall contain the following information. References to stratification may be ignored if that technique is not used.

If the collection of information does not employ statistical methods, so indicate.

If the collection employs statistical methods:

1. Describe (including numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. The tabulation should also indicate expected response rates for the collection as a whole. If the collection had been conducted previously, the actual response rate achieved during the last collection should be noted.

2. Describe the procedures for the collection of information including:

- Statistical methodology for stratification and sample selection,
- Estimation procedure,
- Degree of accuracy needed for the purpose described in the justification,
- Unusual problems requiring specialized sampling procedures, and
- Any use of periodic (less frequent than annual) data collection cycles to reduce burden.

3. Describe methods to maximize response rates, and to deal with issues of nonresponse. The accuracy and reliability of information collected must be shown to be adequate for intended uses.

For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.

4. Describe any tests of procedures or methods to be undertaken.

Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from ten or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.

5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

ATTACHMENT 14C(1)

INSTRUCTIONS FOR COMPLETING STANDARD FORM 360

"REQUEST FOR CLEARANCE OF AN INTERAGENCY REPORTING REQUIREMENT"

I. Instructions for Completing SF 360

A. Complete original and two copies. Forward with appropriate supporting documentation to IRM/PE.

B. General Instructions

Any item not listed below is considered to be self-explanatory and therefore not included. Assistance in completing this form will be provided by IRM/PE upon request.

Item 1 - To be completed by GSA upon approval of the interagency reporting requirement. The Interagency Report Control Number assigned by GSA is to be included in the prescribing directive and appear in the upper right-hand corner of the reporting form or format.

Item 2 - Leave blank. To be completed by IRM/PE.

Item 6 - To be completed for revisions and extensions only. Leave blank if request is for a new reporting requirement.

Item 9 - Enter the summary of estimated reporting costs identified in compliance with the requirement contained in IIC1, if request is for new or revised reporting requirement. Leave blank if request is for approval of a waiver.

Item 10 - Leave blank. To be completed by IRM/PE.

Item 11 - Leave blank. To be completed by GSA.

Item 12 - Leave blank. To be completed by GSA.

II. Instructions for Preparation of Supporting Documentation

A. Justification

Justify each reporting requirement in terms of its value to management. Evaluate the development, operational, and user costs of a report in terms of increased productivity, more timely service, better quality in output, or reduced costs.

B. Directive

Include the following information in the directive prescribing the reporting requirement: purpose of requirement, report title, GSA approval number, report form or format, preparation instructions, responding agencies, frequency, number of copies, routing, due date, and whether negative reports are required.

C. Identification of Reporting Costs

1. Requests for clearance of a new report or the major revision of an existing report are to contain an estimate of the reporting costs related to it, unless the requirement is waived in accordance with paragraph C2 below. Compute the cost of establishing the new or modified reporting system (developmental costs), the annual cost of operating the reporting system (operational costs), and the annual cost of using the reporting system (user costs), and enter totals in Item 9 (Summary of Estimated Reporting Costs) of SF 360. Keep supporting documentation and worksheets available for review by IRM/PE and GSA. A sample Summary Worksheet for Estimating Reporting Costs, Optional Form 101 and GSA Guidelines to Estimating Reporting Costs are contained in Attachment D. Attachment D is to be used to the extent applicable until a costing guide is developed for AID.

2. Submission of complete justification for cost effectiveness may be waived when, in the judgment of GSA, it is in the interest of the Government to do so. When providing the reason for the waiver request, submit a letter instead of the justification statement, with SF 360, excluding Item 9. If a request for waiver is denied, the justification statement is to be prepared for regular clearance of the reporting requirement.

D. Agency Sampling

If a reporting system involves a number of responding agencies, IRM/PE and GSA jointly determine what sampling of potential responding agencies is necessary to provide an adequate appraisal of the workload and cost of a proposed reporting requirement.

GSA GUIDE TO ESTIMATING REPORTING COSTS

CONTENTS

Subject	Page
Introduction	2
Factors Involved In Reporting	3
Accuracy of Cost Estimated	6
Costs To Include In the Estimates	7
Costs To Exclude From the Estimates	8
Shortcuts For Estimating Reporting Costs	9
Estimating the Cost of a Reporting System	13
Summary of Minimum Requirements	14

INTRODUCTION

Office of Management and Budget 5 CFR 1320, on the subject of Controlling Paperwork Bureaus on the Public contains a provision that the General Services Administration will "issue standard costing criteria defining what must be included in cost estimates and how they are to be developed." This guide is issued in compliance with that provision. It is applicable to interagency and internal reporting as defined in 5 CFR 1320.

It is the purpose of this guide to assure that adequate cost estimates are developed. The degree of accuracy sought in a given cost estimate may vary with the general magnitude of the reporting requirement. Shortcuts may be used to make an estimate consistent with the desired degree of accuracy.

FACTORS INVOLVED IN REPORTING

In order to facilitate the gathering of information necessary to implement 5 CFR 1320, costs have been separated into three categories: developmental, operational, and user costs.

The factors outlined below provide a basic checklist for costing either a manual or an automated individual report or reporting system. All of these factors may not apply in any given cost study, and there may be additional factors applicable to a specific costing situation.

A. Developmental Costs. Developmental costs result from those activities necessary for establishing a new reporting requirement or modifying an existing reporting requirement. Developmental costs include:

1. Specification of reporting requirement--those activities preliminary to and including the basic working agreement between the organizational components involved with the reporting system design project, including:

   a. Determining the specific need.

   b. Identifying the scope and objectives of the reporting system.

   c. Appraising the impact on planned and existing operating systems, considering interface with existing reporting systems, and determining benefits to be derived from the existing system.

   d. Developing a working agreement between organizational components which will be involved with designing the reporting system.

2. Analysis of reporting requirement--the determining of the information to be provided by the reporting system, including:

   a. Certifying to satisfaction of need.

   b. Discussing and determining needed information.

   c. Selecting available or appropriate data sources, media, and processing requirements.

   d. Developing reporting system output requirements and specifications.

3. Design of reporting system -- the preparation of the written description of the proposed system.

a. Determining needed processing of input documents.

b. Developing input and output documents, to include standard data elements where applicable.

c. Establishing data file and related documentation.

4. Installation of reporting system -- the conversion of the written plan to an operable on-going reporting system, including:

a. Programming and debugging computer-oriented reporting systems.

b. Acquiring and installing new equipment or modifying existing equipment.

c. Developing, writing, and issuing implementing directive and other instructions.

d. Scheduling and performing tests of reporting system during installation.

e. Scheduling and conducting training and orientation.

f. Preparing site (data processing installation).

B. Operational Costs. Operational costs result from those continuing activities necessary to prepare and transmit a report. Operational costs include:

1. Data collection -- the activity necessary to record the event and make data available at some other location or time, including:

a. Assembling and recording source data by the various preparing units.

b. Controlling the accuracy of source data.

c. Forwarding source data to a processing unit.

d. Storing source data for future reference.

2. Data processing -- the manipulation of data into the desired structure or format for evaluation and analysis.

a. Receiving, controlling, and editing source documents at the processing unit.

b. Summarizing source data and converting data to machine readable data.

c. Updating the data base file.

d. Extracting and compiling data for the desired report media or format.

e. Posting data to worksheets and developing narrative, statistical, or graphic displays.

3. Data transmission, including reproduction and distribution of completed reports from processing units.

C. User Costs. User costs result from those normal activities performed by the requiring office on the transmitted information. User costs include:

1. Refining, interpreting, and analyzing information received.

2. Reading, reviewing, discussing, and documenting information presented (e.g., hard copy report, briefing session, remote terminal response).

ACCURACY OF COST ESTIMATES

The importance of the cost estimate to management decision-making will have a direct bearing on the degree of accuracy that needs to be sought in the estimating. Management normally is more concerned with accuracy of estimates in the case of a high-cost, recurring report than in the case of a relatively inexpensive, one-time report. When the benefits of a report are not clearly and substantially beyond the probable costs, greater precision is necessary in order to permit a valid cost effectiveness evaluation.

Use of cost data developed by an agency reflecting the unique characteristics of its own operations generally will result in a more accurate estimate than can be obtained using other data, e.g., government-wide average costs.

COSTS TO INCLUDE IN THE ESTIMATES

Estimates of reporting costs should include the costs of all resources required for the particular reporting system being estimated, including contract costs. Developmental, operational, and user costs include the following: direct personnel costs, direct material costs, direct equipment costs, and other direct costs. In addition, an appropriate allowance for overhead costs (supervision, space, and administrative support) should be included in estimates of developmental, operational, and user costs.

Estimates of the developmental, operational, and user costs of a report should reflect a costing of the total resources required for the report rather than a costing of the net additional resources required for the report. If a new reporting requirement is being estimated which will replace an existing reporting requirement, estimated savings from the replacement should not be used to reduce the estimated cost of the new requirement.

Estimates of direct personnel costs should include the salary cost of an employee's non-productive time, such as sick and annual leave, as well as his productive time. The estimates should also include the contributions of the Government to insurance and retirement plans. Formulas to accomplish this are given in the section of this guide titled "Shortcuts for Estimating Reporting Costs."

Estimates of the equipment costs of a reporting system normally should be based on a pro-rated share with other uses made of the equipment. The cost pro-rated, in the case of purchased equipment, should stem from an amortization of total purchase costs over some realistic calendar period.

COSTS TO EXCLUDE FROM THE ESTIMATES

There are two kinds of costs that should be excluded when estimating the costs of a particular report:

A. Exclusion of the Costs of Independent Reports. If a reporting requirement uses a feeder report as input, and if the feeder report is an independent report which would continue if the reporting requirement being estimated did not exist, the cost of the feeder report should be excluded from the estimated costs of the reporting requirement. However, if the feeder report is modified to serve as input to the reporting requirement, then the developmental and operational costs resulting from the modification of the feeder report should be included in the estimated costs of the reporting requirement.

The latter situation can arise, for example, in the case of an interagency reporting requirement. The responding agency may need to make major or minor modifications to an existing report or reporting system in order to prepare and submit the required interagency report. Only the additional reporting costs resulting from the required modifications should be included in the estimated costs of the interagency report.

B. Exclusion of Non-Reporting Costs. Costs which are an integral part of an organization's functions and operations that would continue if reporting did not exist should be excluded from estimates of reporting costs, even though the reporting relies heavily upon or could not exist without such functions and operations. For example, a reporting system which is dependent upon data used in the preparation of payrolls should not be charged with the cost of data needed to produce the payroll nor by-products of the payroll system such as payroll control registers.

SHORTCUTS FOR ESTIMATING REPORTING COSTS

Agencies will want to develop shortcuts, based on their own experience and data, to be used in estimating reporting costs consistent with the degree of accuracy required in their estimates.

The following are examples of the kinds of shortcuts that an agency may develop for general use in estimating reporting costs:

A. Agency Sampling. Consistent with the spirit and intent of 5 CFR 1320, the expenses incurred in developing new reporting systems should be minimized; therefore, if a reporting system will involve a number of organizational units, it is not usually necessary to obtain cost data from each responding unit. A sampling may be made and projected in keeping with accepted sampling methods.

In the case of interagency reporting requirements, a satisfactory base on which to project will be determined jointly by the Office of Information Systems; Office of Information Resources Management; GSA; and the Interagency Reports Coordinator.

B. Standard Annual Salary and Benefit Rates. The standard annual salary and benefits rate is derived in two steps:

1. First, a weighted average is obtained, over a period of time, of the annual salaries of some category of personnel.

2. Secondly, the weighted average is increased by a percentage factor which reflects the costs to the Government of insurance and retirement plans.

The standard annual salary and benefit rate is extremely useful in computing the estimated direct personnel costs of a report. Standard annual salary and benefit rates may be developed by an agency for computing a variety of categories of direct personnel costs:

1. Developmental costs.

2. Operational costs.

3. User costs.

4. ADP costs.

5. Other categories of direct personnel costs (reporting personnel of an organization, program, function, profession, etc.).

A standard annual salary and benefits rate is useful in computing estimated direct personnel costs from estimated payroll man-years. (Payroll man-years are the time required to do a job -- including both productive [on-the-job] time and non-productive [away-from-the-job] time. Non-productive time is comprised of holidays, annual and sick leave, administrative leave, and daily lost time [rest periods and other].)

Estimated Payroll Man-Years Required		Hypothetical Standard Annual Salary And Benefit Rate		Estimated Direct Personnel Costs - Rounded
(5.57)	x	($15,000)	=	($85,000)

C. Standard Hourly Rates. Standard hourly rates are derived from standard annual salary and benefit rates for use in computing estimated direct personnel costs. Standard hourly rates are of two types.

1. Standard Hourly Rates for Computing Direct Personnel Costs from Estimated Payroll Man-Hours. In some situations, estimates of man-hours required include provision for both the productive and non-productive time of an employee. (Non-productive time is defined in B. above.) Man-hours so estimated are payroll man-hours.

a.

Hypothetical Standard Annual Salary And Benefit Rate		Number of Payroll Man-Hours in An Employee Year		Hypothetical Standard Hourly Rate for Pricing Payroll Man-Hours
($15,000)	-	(2,080)	=	($7.21)

b.

Estimated Payroll Man-Hours Required		Hypothetical Standard Hourly Rate		Estimated Direct Personnel Costs - Rounded
(11,794)	x	($7.21)	=	($85,000)

2. Standard Hourly Rates for Computing Direct Personnel Costs from Estimated Productive Man-Hours. In some situations, a man-hour requirement is estimated in terms of the time required to do the job with no allowance for non-productive time. Man-hours so estimated are productive man-hours.

a.

Hypothetical Standard Annual Salary And Benefit Rate		Number of Productive Man-Hours In An Employee Year		Hypothetical Standard Hourly Rate for Pricing Productive Man-Hours
($15,000)	-	(1,532)	=	($9.79)

b.

Estimated Productive Man-Hours Required		Hypothetical Standard Hourly Rate		Estimated Direct Personnel Costs - Rounded
(8,686)	x	($9.79)	=	($85,000)

The number "1532" may be used in the first equation above or an agency may substitute its own number. The number "1532" is based on the assumption that the 2080 work hours of a year will be spent as follows by the average Federal employee:

Work Hours Per Year			2080
Non-Productive Hours Per year			
Holidays (9 days x 8 hours)	72.0		
Annual Leave (21.2 days x 8 hours)	169.6		
Sick Leave (9.6 days x 8 hours)	76.8		
Administrative Leave (1.3 days x 8 hours)	10.4		
Daily Lost Time (219 days x 1 hour)	219.0	-	548 (rounded)
Productive Hours Per Year			1532

D. Overhead Rate. One way to compute the overhead portion of estimated reporting costs is:

Estimated Direct Personnel Costs		Hypothetical Overhead Rate		Estimated Overhead Costs - Rounded
($85,000)	x	(25%)	=	($21,000)

In the above formula, "Estimated Direct Personnel Costs" includes full salary costs (non-productive as well as productive time) and the cost to the Government of insurance and retirement plans. "Hypothetical Overhead Rate" includes the costs of supervision, space, and administrative support.

Agencies should develop their own overhead rates for the costing of reports based on agency cost experience. In the event that no such rate has yet been developed, an overhead rate of 25 percent may be used in the above formula to estimate overhead costs.

ESTIMATING THE COST OF A REPORTING SYSTEM

This guide has set forth minimum requirements for the development of satisfactory cost estimates. The exact methodology employed may vary to fit agency needs and preferences.

Summary Worksheet

To simplify and standardize the collection, correlation, and summation of data, some forms or worksheets are needed. One such tool might be similar to that shown as Figure 1, Sample of a Summary Worksheet for Estimates of Reporting Costs.

Perhaps the principal advantage of this form is that it ensures that none of the significant activities in the development, operation, or use of a reporting system are overlooked, and that for each activity consideration is given to personnel, overhead, equipment, material, or any other costs. It also provides a simple way of summarizing the data.

If this worksheet were used in costing an interagency reporting system as prescribed by Federal Property and Management Regulations (FPMR 101-11.11), items 5, 10, and 14 of the worksheet would provide the cost data to be entered as items 9a, b, and c of Standard Form 360, Request for Clearance of an Interagency Reporting Requirement. Actually, two summary worksheets would be necessary, one for the costs to the "requiring" agency and a second to summarize the costs to the "responding" agencies.

Retention of Documentation

Obviously, the summary worksheet must be supported by working papers which show the detailed computations of the estimate and the source and basis of data used in the computations. The summary worksheet and supporting papers should be retained until the cost of the reporting system is estimated again at a later date, ordinarily at no longer intervals then three years.

Summary of Minimum Requirements

Any forms, methods, or shortcuts which agencies may devise are likely to provide for adequate cost date if they measure up to the following standard:

1. Developmental, operational, and user costs and related reporting activities are considered.

2. Accepted sampling methods are used.

3. The full range of resources expended in reporting-- personnel, overhead, material, equipment, and others--are included in estimates of reporting costs.

SAMPLE OF A COMPLETED SUMMARY WORKSHEET FOR ESTIMATES OF REPORTING COSTS

Report Symbol	Report Title	Estimate Prepared by	Date
132	XYZ Report	John Doe	3-17-73

Reporting Catagories	Reporting Activities	Direct Personnel a	Overhead (25% of Col. a) b	Direct Equipment c	Direct Material d	Other Direct Costs e	Total (a+b+c+d+e) f
	1.Specification of Reporting Requirement	2,000	500				2,500
DEVELOPMENTAL	2.Analysis of Reporting Requirement	5,000	1,250				6,250
COSTS	3.Design of Reporting System	60,000	15,000			7,750	82,750
	4.Installation of Reporting System	18,000	4,500	4,000	1,000		27,500
	5.DEVELOPMENTAL COSTS					=	119,000
	6.Data Collection	8,000	2,000	2,000	1,000		13,000
OPERATIONAL COSTS	7.Data Processing	15,000	3,750	5,000	750		24,500
	8.Data Transmission	2,000	500		750		3,250
	9.Operational Costs for One Report					=	40,750
	10.ANNUAL OPERATIONAL COSTS -- ($40,750) (6 [Frequency Per Year])					=	244,500
USER	11.Refining, Interpreting and Analyzing Information Received	2,000	500				2,500
COSTS	12.Reading, Reviewing Discussing and Documenting Information Presented	5,000	1,250				6,250
	13.User Costs for One Report					=	8,750
	14.ANNUAL USER COSTS -- ($8,750) (6)					=	52,500

Figure 1

CHAPTER 15

FORMS MANAGEMENT SERVICES

15A. Purpose

This chapter prescribes responsibilities and procedures for the operation of the USAID Forms Management Program. It is USAID's policy, implemented by the Office of Administrative Services, Information Support Services Division, Records Management Branch, (M/FA/AS/ISS/RM) to provide for continuing and systematic management of all forms used by the Agency to ensure that they contribute to USAID's operational effectiveness.

15B. Authority

* 40 USC 486(c)751(f)
* Paperwork Reduction Act of 1980
* 5 CFR 1320
* Federal Information Resources Management Regulations
* (FIRMR), Subpart 201.9.201 Forms - Agency Program Responsibilities

15C. Reference

* Freedom of Information Act 5 U.S.C. 552
* Privacy Act of 1974 5 U.S.C. 552a
* 48 CFR 201-4.001
* Metric Conversion Policy for Federal Agencies 15 CFR part 19 (Subpart B)

15D. Program Objectives

The objectives of the USAID Forms Management Program, administered by M/FA/AS/ISS/RM are:

1. To increase the usefulness of forms as administrative tools through standardization, simplification, and the application of acceptable forms design standards;

2. To achieve savings in all areas of Agency operations by periodic review of information requirements, eliminating nonessential or duplicate forms and consolidating similar or related forms and procedures;

3. To minimize personnel costs associated with the preparation, use, or filing of forms; and

4. To provide staff assistance and technical advice to managers concerned with the development, electronic generation and use of forms, ensuring that established forms fulfill data collection, transmission, and that summarization requirements are addressed.

15E. Definitions

1. General Definitions

Forms are reprinted documents with space for filling in information. Forms that are to be used on a recurring basis are assigned a USAID form number. Certain printed materials, such as standard contract provisions, instructions, tags and labels are also assigned form numbers to identify them for purposes of reference, printing, stocking, distribution, or use with other forms. Forms fall into the following categories:

a. New forms are proposed forms which are to be assigned a number in the USAID forms series and established for use.

b. Revised forms are forms which have previously been assigned a USAID forms control number and a change or modification is being requested.

c. Canceled forms are forms which are canceled or superseded because they are no longer needed, the procedures have changed, or two or more forms have been combined.

d. Electronic Forms are forms generated by computer software and used as the basic tool for collecting and transmitting information.

e. Reinstated forms are forms which have been canceled, but are found to still be needed.

f. One-time forms are reprinted documents necessary to collect or record information systematically for a limited time only and which become obsolete upon completion of the project. These forms ordinarily have a specified expiration date and are not assigned a form number.

g. Trial forms are proposed forms which are tested to determine their usefulness. These forms are used for a limited time only and are given an expiration date. They are not assigned a form number.

2. Categories of Forms Used By USAID

a. USAID forms are those forms initiated by USAID. USAID forms fall in the following categories:

(1) Agency-wide forms are those forms, including automatic data processing forms, which are either

(a) completed and transmitted by more than one Office, Bureau, or Mission, or (b) submitted to a USAID Office, Bureau, or Mission by other U.S. Government agencies, private contractors, banks, suppliers, voluntary agencies, cooperating countries, or the general public.

(2) Intra-office forms are those forms used only within a single organizational unit of USAID/W.

15E2

b. Standard (SF) and Optional Forms (OF) are forms used Government-wide for common functions.

c. Joint Forms (JF) are forms required and used jointly by State/USAID/USIA.

d. Department of State Forms are forms initiated by the Department of State and used by USAID. These forms are categorized as follows:

(1) DS forms are used by all Department of State Offices and USAID.

(2) FS forms are used for the Foreign Services Personnel System.

(3) DSL forms are Department of State Form Letters.

(4) DSP forms are Department of State Public Data Forms used to gather information from the public.

e. Computer generated forms are forms generated by computer software.

f. Formats are prescribed or suggested layouts for reporting or record keeping purposes which are not printed and, therefore, do not carry form numbers. When a format is included in a handbook, or communication requiring or recommending a procedure, it is to be labeled "SAMPLE FORMAT" so that it will not be mistaken for a printed form. Reports using formats are subject to approval by M/FA/AS/ISS which determines whether or not they are to be controlled under the Agency Reports Management System, Chapter 4 of this handbook. If so, each format will be assigned a Report Symbol and this symbol must appear in the upper right hand corner of the format.

3. Requiring Office is the office which prescribes the use of a particular USAID form and other non-USAID forms used by USAID.

4. Using Office is the office which uses a form prescribed by requiring offices.

5. Printing in the context of this chapter refers to processes usually employed in reproducing printed material, e.g., direct-image offset, photo offset, laser printers and letterpress. See Handbook 20, Office Services, Chapter 1, for USAID/W capabilities for performing such work and a discussion of the advantages and limitations of the various printing and reproduction methods.

15F. Responsibilities

1. M/FA/AS/ISS/RM

M/FA/AS/ISS/RM is responsible for the USAID forms management program, a responsibility that includes, but is not limited to:

a. Providing guidance and assistance to USAID personnel in the analysis and development of new or revised forms:

b. Coordinating the forms management program with both the reports and the codes programs;

c. Providing forms design and construction assistance and guidance to assure a logical and efficient format;

d. Maintaining a file for each approved form used in USAID;

e. Conducting an annual survey to maintain an accurate, up-to-date forms inventory catalog;

f. Determining whether OMB or GSA approval is required on a proposed form and coordinating the approval process (See Part V, Chapter 4 of this Handbook, for OMB and GSA clearance procedures);

g. Ensuring that each form used in USAID is supported by a proper directive and/or instruction;

h. Ensuring that all forms covered by the Privacy Act of 1974 have appropriate language appearing on the form. (See Part III, Chapter 12 of this Handbook for guidance);

i. Reviewing the reorder of forms to ensure currency and adequacy in meeting needs and usage patterns to determine appropriate stock levels before approval.

j. Approving all new and revised USAID forms and assigning USAID form numbers.

k. Requesting exception to a standard and optional form, when the requesting office can demonstrate that the difference in the content, format or printing specifications of the exception is cost effective. Electronically generated versions of standard and option forms require exception approval when they do not comply with the guidelines stated above.

2. USAID/W Requiring Offices

USAID/W offices requiring the use of forms are responsible for:

a. Submitting all new and revised forms to M/FA/AS/ISS/RM for review and clearance. (See Section 15G of this chapter for instructions on how to submit forms for review and clearance.)

15F2

b. Submitting to M/FA/AS/ISS/RM all requests for approval of public-use USAID forms used to solicit information from other U.S. Government agencies. (See Part V, Chapter 4 of this Handbook.)

c. Submitting to M/FA/AS/ISS/RM all printing requisitions for reordering forms stocked by requiring office.

d. Submitting all requests to cancel or supersede a USAID form to M/FA/AS/ISS/RM using form AID 3-1, Forms Approval Request.

3. Overseas Office

On occasion, a Mission will need a form for a specific purpose and no reprinted form in the USAID forms inventory can be readily adapted to fill that need. In those instances, the Mission should develop a form that will fill their needs, using the GSA Records and Information Management Handbook, Forms Analysis and Design, for basic guidance. The handbook can be obtained from GSA. When originating forms in the Mission, Part III, Section 12P of this Handbook should be consulted to assure the inclusion of a Privacy Act implication statement that may be required when personal information is collected. Any forms instituted in the Mission, which may be of use to USAID/W or other Missions, should be sent to M/FA/AS/ISS/RM with a brief explanation as to the use of the form.

a. Identifying Internal Mission Forms

(1) Missions may adopt an internal forms numbering system, but are to ensure that the numbers assigned are clearly distinguishable from the numbers used by USAID/W and other Missions.

(2) The Mission developing and using such forms must be clearly identified on each form. This is particularly important when the form provides information to another USAID organization, or for any reason is transmitted to USAID/W or another overseas USAID office.

b. Translating Forms

Each Mission is responsible for obtaining its own foreign language translations of USAID/W and overseas office-initiated forms. However, USAID/W printing facilities may be used to reproduce the form if the Mission submits reproducible camera-ready copy.

c. Procurement of Forms

(1) Procedures for procuring and maintaining a supply of forms in overseas offices are prescribed in Section 15J2a of this chapter.

(2) In many cases, it may be more expedient and economical to obtain forms through local printing facilities rather than order them from USAID/W. The "USAID Forms Facsimile Handbook", issued in March 1988 as HB 18 Appendix A-1, will enable the mission to obtain blank cut forms

15F3c

through local printing facilities rather than ordering them from USAID/W. A "Special Section" is also included in the handbook which consists of "specialty forms"; some are manifold or larger than legal size format. Although some manifold forms are included in the handbook they are to be reproduced for emergency use only. Such forms will normally be ordered from USAID/W. If local facilities are used for this purpose, the Mission is to ensure that it is reproducing the current edition of the form, with exact duplication of size, color, quality, etc.

15G. Requiring Office's Role in Determining the Actual Need for a Form

1. It is the responsibility of an individual or office wishing to propose a form to investigate first the possibility of using either (a) a Standard Form, (b) an Optional Form, (c) a Department of State form when appropriate, or (d) an existing USAID form rather than creating a new one. The USAID Forms Catalog (Appendix A) lists the descriptive titles of existing USAID forms. In many cases, an existing USAID form can be adapted or revised to the satisfaction of all using offices, thereby eliminating the necessity to create a new form. The Standard and Optional Forms Facsimile Handbooks are maintained in M/FA/AS/ISS/RM.

2. If an individual or office determines that there is a need for a new form, it is to be coordinated with M/FA/AS/ISS/RM during the preliminary stages of its development. The M/FA/AS/ISS/RM Forms Management Analyst can advise on ways to use forms to collect information, on appropriate composition to fulfill requirements, and on writing clear, concise procedures for using a form.

15H. Procedures for Obtaining Approval for New and Revised Forms

1. Procedures for Obtaining Approval of USAID Forms Used Agency-Wide

a. Preparation of Forms AID 3-1, Forms Approval Request

Requiring offices are responsible for submitting new and revised forms for analysis, design, and reproduction to M/FA/AS/ISS/RM far enough in advance to allow necessary lead time for printing, composition, and distribution of the form. The requiring office prepares form AID 3-1, available from the Property and Purchasing Branch, M/FA/AS/PP/PP, in original and two copies (no Xerox copies please), and forwards all copies with supporting documentation to M/FA/AS/ISS/RM for action. One copy of form, AID 3-1, will be returned to the requiring office after necessary action has been taken. The supporting documentation includes:

(1) A draft copy of the proposed form. (See Section 15H1c(1) for detailed guidance.)

(2) A copy of the proposed directive or written procedure covering the form (if applicable) or a copy of instructions governing the use of the form. When referring to specific forms in a proposed directive include the form number, form title, and revision date.

15H1a

(3) Eight (8) copies of SF 1, Printing and Binding Requisition to the Public Printer (used for all types of forms).

b. Instructions for Completing Form AID 3-1 (Attachment A)

(1) BLOCK - Form Number and Date: To be completed by M/FA/AS/ISS/RM.

(2) PART I - To be Completed by Requiring Office

The requiring office must complete all other items on the front of this form. Any item not listed in the instructions below is considered self-explanatory and therefore, not included. Assistance in completing this form will be provided by M/FA/AS/ISS/RM upon request.

BLOCK 2 - Contact: Enter the name of the person M/FA/AS/ISS/RM will consult within the requiring office on matters concerning the proposed form.

BLOCK 5 - Form Title: The use of titles such as "Worksheet" or "Monthly Report" must be followed by more specific and descriptive words in order to properly identify the exact use to be made of the form.

BLOCK 6 - Requiring Handbook for Instruction: Enter the handbook number, chapter, and section which prescribes the use of the required form. If required by internal instruction, enter the title of the document.

BLOCK 8 - Filing Equipment Used and Size: "X" t h e appropriate box which describes the type of filing equipment used to file completed forms and enter the size of such equipment. Under "Other" specify any special type of equipment. (Determines the paper size to be used.)

BLOCK 9 - Method of Completion: "X" the appropriate box. If the form is to be completed on mechanical equipment other than typewriter (e.g., a computer prepared report), "X" "Machine" and enter the make and model of the equipment. (Determines the spacing used on the form.)

BLOCK 12 - Estimated Date Form Needed: Enter the effective date that the requiring office will need the form. The following lead times are to be used by requiring office.

TYPE OF ACTION	NUMBER OF WORKING DAYS ALLOWED
Analysis by M/FA/AS/ISS/RM	
Major Revision to Form	5
Minor Revision to Form	1
Design of Form by M/FA/AS/ISS/RM and approval by requiring Office	5

15H1b(2)

Printing of form

Blank-cut forms	10
Pads of forms	30-45
Large quantities of blank-cut forms (over 10,000)	30
Blank-cut on special paper	30
Specialty forms (snap-out)	45
Distribution to field	30

BLOCK 13 - Estimated Yearly Usage: Enter the number of copies required for use in one year.

BLOCK 14 - Recommended Size of Form: Enter 8 1/2 X 11, 11 X 8 1/2, 8 1/2 X 14, etc.

BLOCK 15 - Number of Copies Prepared: Enter number of copies filled in at one writing.

BLOCK 16 - Distribution of Original and Each Copy: Enter the number of copies prepared and the final disposition of each copy (according to procedures for the use of the form). (Determines form construction.)

BLOCK 17 - Office Completing Form: Enter office using the form; e.g., FM, Mission only, USAID/W only, etc. (Determines stocking of the form.)

BLOCK 18 - Justification of Requested Action: Enter a statement explaining why the form is needed (purpose and limitation).

BLOCK 19 - Distribution: List the proposed initial distribution for the form. Use an additional sheet of paper, if necessary. Also include, where applicable, any handbook material which is to be distributed concurrently with the form. If initial distribution is not required, enter NONE.

BLOCK 20 - Clearance: Obtain all necessary clearances from the appropriate offices.

(3) PART II - To be completed by the Forms Management Office: M/FA/AS/ISS/RM completes the back of the form.

c. Submission of Form AID 3-1 and Supporting Documentation

(1) Preparation of Requiring Office's Pre-designed Draft

(a) The requiring office may prepare an initial rough draft design of its requirements or obtain M/FA/AS/ISS/RM assistance in conceptualizing the form, as well as preparing an initial draft.

15H1c(1)

(b) Special care is to be given to select language and captions that the responding offices will not misinterpret, and to ensure that the requested information is in a logical sequence. This will minimize confusion and ensure that the form will be completed properly.

(c) Size and format are determined by the methods to be used in completing, handling, and filing the form.

(d) Minimal instructions for preparing the form should appear on the front of forms used USAID-wide. Detailed requirements for their use, and instructions for their preparation and submission should be contained in the applicable handbook. When forms are to be used by the public or another government agency complete instructions must be given and may appear on the reverse side of the form. In all cases when a form is associated with a handbook, that handbook must be referenced on the form.

(e) Requiring offices are to keep in mind that all forms (especially public-use forms) must be designed for readability, simplicity, and be jargon free so that they can be understood clearly and completed.

(2) Responsibilities Relating to Requested Form

(a) Requiring offices are to prepare draft directives in accordance with Part I of this Handbook, for all general use or inter-office forms.

Types of Issuances Required

1. A new handbook chapter or section if the procedure and related documentation is entirely new to the system.

2. A revised handbook chapter or section (entire or partial) if the revision or cancellation of the form alters the instructions contained in the existing handbook.

3. A handbook transmittal memorandum accompanied by the form if the form is the only page(s) being revised or canceled.

4. A handbook circular, if the new or revised form requires immediate issuance of the form and its instructions. Such forms and their instructions are to be included in the appropriate handbook at a later date.

(b) Prepare operating instructions for the use of inter-office forms.

15H1c(2)

(c) Instructions for the use of forms required of the general public or other government agencies are prescribed by USAID regulations. The form's title and number are published in the Federal Register.

2. Forms Subject to 5 CFR 1320, Controlling Paperwork Burdens on the Public

a. All USAID forms required for collection of identical items of information from ten or more respondents located either in the United States or overseas, who are not U.S. Government employees, are to be submitted through the Agency Clearance Officer in M/FA/AS/ISS/RM for clearance by OMB following the procedures outlined in this Part V, Chapter 4 of this Handbook.

b. In addition to the process outlined in Part V, Chapter 4, the procedures for submitting USAID forms for clearance and review are to be followed as delineated in Section 15G of this Handbook.

3. Forms Subject to the Federal Information Resources Management Regulation (FIRMR), Subpart 201.9.202.2 Interagency Reports

a. All USAID forms used to gather reporting information from one or more departments or agencies are to be submitted through the Interagency Reports Coordinator in M/FA/AS/ISS/RM for clearance by GSA following the procedures outlined in Part V, Chapter 4 of this Handbook.

b. In addition to the process outlined in Part V, Chapter 4 of this Handbook, the procedures for submitting USAID forms for clearance and review are to be followed as delineated in Section 15G of this chapter.

4. Forms Subject to the Privacy Act of 1974

a. All USAID forms which solicit personal information must contain the pertinent statements required by the Act which are outlined in Part III, Chapter 12 of this Handbook. The proposed form must be cleared by the Privacy Act Staff (XA/PI).

b. In addition to the process outlined in Part III, Chapter 12, the procedures for submitting USAID forms for clearance and review are to be followed as delineated in Section 15H of this chapter.

5. Forms Subject to the Metric Conversion Act of 1975 as amended in 1988.

a. All forms which are soliciting "measurement-sensitive" data i.e., data whose meaning or application depends substantially on some measured quantity, are to be designed in accordance with P.L. 94-168, as amended by P.L. 100-418, and E.O. 12770. Therein the metric system of measurements is designated the preferred system of weights and

15H5a

measurements for U.S. trade and commerce, and Federal agencies are to accommodate the transition to the metric system and to use it for procurement, grants and other business-related activities except to the extent that such use is impractical or is likely to cause significant inefficiencies or the loss of markets to U.S. firms. Forms soliciting measurement-sensitive data shall specify the metric units prescribed in Federal Standard 376A, ("Preferred Metric Units for General Use by the Federal Government") except as provided in the Act.

b. Depending on the degree to which a particular class of respondents has adopted the metric system, forms may be designed to give the respondents the option of providing measurement-sensitive data in either the metric or traditional units.

c. M/FA/AS/ISS/RM will refer decisions not to provide for the submission of measurement-sensitive data in metric units to the USAID Metric Executive for review.

d. In addition to the process outlined in part V Chapter 4, the procedures for submitting USAID Forms for clearance and review are to be followed as delineated in 15H.

15I. Procedures for Canceling an USAID Form

1. When a requiring office determines that a form is no longer needed, M/FA/AS/ISS/RM must be notified by submission of form AID 3-1. Include the effective cancellation date and any other pertinent information which affects the cancellation of the form.

2. Upon receipt of a request to cancel an USAID form from a requiring office and determination by M/FA/AS/ISS/RM that the form is no longer needed, the USAID form number is not used again unless the same form is reinstated. M/FA/AS/ISS/RM will take appropriate steps to remove the form from stock and the Forms Catalog.

15J. Stocking and Procurement of Forms

1. USAID/W

a. Forms Used Agency-Wide

(1) USAID Forms

The USAID Forms Catalog (Appendix A of this Handbook) lists the descriptive titles of all USAID forms and where they are stocked. USAID forms used by two or more offices are stocked by the USAID Warehouse, M/FA/AS/PP/PP, and are ordered on form AID 5-7, Supplies/Equipment/Services Requisition.

15J1a

(2) Non-USAID Forms

Standard Forms and Optional Forms can be obtained from GSA. The requestor should complete form AID 5-7 (Supplies/Equipment/Service Requisition) and submit it to the requestor's organizational administrative office for approval.

Contact M/FA/AS/ISS/RM to obtain State Department and Joint Forms.

(3) Electronic Forms

Electronic generation of Standard and Optional Forms is permitted without exception approval provided each form conforms to the following guidelines:

(a) The accuracy of electronically generated standard and optional forms is the responsibility of the form user. Revisions must be implemented properly.

(b) The electronically generated standard and optional form must be an exact reproduction of the currently approved edition of the form. The wording and punctuation of all items, instructions, and identifying information must match exactly. No data elements may be added or deleted. The sequence and format for each item on the form must be reproduced exactly. Each item must print on the same page in approximately the same location. However, forms printed front and back on the original may be printed on single sheets providing each page is identified with the form number, page number and edition date. Likewise, multiple part sets may be printed as single sheets, the final form of which must be printed using the same dimensions as the current edition is printed. All blocks must remain approximately the same size and lines must remain approximately the same length. The electronic form should contain the software name and producer at the bottom of the face page. Attachment 15B is a listing of standard and optional forms not to be electronically generated without specific exception approval by GSA.

b. Forms Used by One Office Only

Any office which has initiated a USAID form for its own use is responsible for maintaining an adequate supply of the form. Reprinting of the form is requested by submitting a copy of it along with SF 1 to M/FA/AS/ISS/RM. Ordinarily, stocks are to be sufficient for 12 months' requirements depending on the climate of the storage facility and perishability of the form.

15J

2. Overseas Office

a. Procurement of Forms

(1) USAID Forms

USAID forms prescribed for overseas office use are available from M/FA/AS/PP/PP in USAID/W. They are ordered on form AID 5-7. The USAID Forms Facsimile Handbook will be updated with new forms and revisions to existing forms through a Transmittal Letter series. Individual pages may be replaced by (a) sending AID Form 5-7 (Supplies/Equipment/Services Requisition) or (b) via telegram. The subject line of telegrams should read: Request for USAID Facsimile Forms, M/FA/AS/ISS/RM.

(2) Forms Prescribed by Uniform State/USAID/USIA Regulations and Other U.S. Government Forms

Joint Forms, Department of State Forms, Foreign Service Forms and other U.S. Government forms may be obtained from the local Embassy or Consulate as prescribed by the Federal Procurement Handbook. Reimbursement will be effected through appropriate administrative support agreements.

b. Maintenance of Supplies

Overseas offices are responsible for maintaining an adequate supply of all forms used by them. Reordering cycles are to be established which allow sufficient time for receipt of forms, either from local Embassy or Consulate facilities, or from USAID/W, in order that the requisitions may be processed in a routine manner. Surface shipment will be used to transmit supplies from USAID/W in most cases. Approximate costs for pouch shipments are listed in Handbook 21, Part 1 Communications Management. Missions can avoid wasting Agency funds by not creating inventories of forms in excess of a 6 months supply.

15K. Other U.S. Government Forms Used by USAID

When USAID offices are required to use forms initiated or required by other Government agencies, e.g., GSA (Standard and Optional Forms), Office of Personnel Management, GAO, Treasury, and State, that office is to inform M/FA/AS/ISS/RM of such requirements by the submission of a form AID 3-1 and supporting documentation. (See Section 15H.)

15L. Availability of Forms

The forms required in this chapter of the Handbook are available in M/FA/AS/PP/PP, USAID/Washington. These forms are:

Form AID 3-1, Forms Approval Request
Form AID 5-7, Supplies/Equipment/Services Requisition
Form SF 1, Printing and Binding Requisition

Attachments:

Attachment 15A: Form AID 3-1, Forms Approval Request
Attachment 15B: Listing of Standard and Optional Forms not to be electronically generated without specific approval by GSA

Attachment 15A

18-III:15

FORMS APPROVAL REQUEST	INSTRUCTIONS: 1. Prepare an original and two copies. DO NOT SEND XEROX COPIES. 2. See HB 18, Pt. V, Ch 5 for instructions.	*Form Number and Date* (Forms Mgmt. Office Use Only)

PART I - TO BE COMPLETED BY REQUIRING OFFICE

1. Requiring Office	2. Contact	3. Room Number and Bldg.	4. Telephone Number

5. Form Title	6. Covering Handbook

7. Type of Action		8. Filing Equipment Used and Size			9. Method of Completion	
	New		EQUIPMENT	SIZE		Handwritten
	Revised		Folder			Typewriter
	Cancelled		Visible Card			Machine *(specify make and model)*
	Reinstate		Vertical Card			
	One-Time		Binder			
	Trial		Other (Specify)			

10. Cancelled or Superceded					11. FREQUENCY OF USE *(Monthly, Daily, etc.)*	12. Estimated Date Form Needed
		DISPOSITION				
FORM NUMBER	DATE	Use	Destroy	Date		
					13. Estimated Yearly Usage	14. Recommended Size of Form

15. Number of Copies Prepared	16. Distribution of Original and Each Copy	17. Office(s) Completing Form

18. Justification of Requested Action

19. Distribution *(List all necessary distribution, both USAID/W and Mission. Attach additional sheet if necessary.)*

20. CLEARANCES

TYPED NAME	TITLE	OFFICE	INITIALS	DATE

AID 3-1 (2/94)

PART II - TO BE COMPLETED BY THE FORMS MANAGEMENT OFFICE

1. OMB Number and Expiration Date	2. Report Control Symbol	3. Other Controlling Numbers (i.e., GAO, etc.)

4. Type of Form		5. Paper and Ink Specifications					
	Cut Sheets	Copy	Paper Color	Paper Grade	Ink Color	Carbon	Indicia
	Direct Image Masters	1					
	Pads	2					
	Snapout Sets	3					
	Continuous Strip	4					
	Continuous Pinfeed	5					
	Other *(specify)*	6					
		7					

6. Actual Size of Form	7. Punching			8. Pads			9. Other Binding Instructions
	Holes	CTOC	POSITION	Sheets In Pads	Sheets In Set	Total Sets	

10. Prenumbered		11. Print					12. Total Amount to be Printed	13. Stocked By
FROM	TO	ONE SIDE	HEAD TO					
			HEAD	FOOT	LEFT	RIGHT		

14. Special Distribution Or Printing Instructions

15. Forms Management Comments

16. APPROVALS

TYPE OF APPROVAL	TYPED NAME OF APPROVING OFFICER	INITIALS	DATE
Reports Management			
Automatic Data Processing			
Other *(Specify)*			
Forms Management			

Attachment 15B

The following forms may not be electronically generated unless specific exception has been approved by GSA.

SF NUMBER	DOCUMENT TITLE
SF 7D	Position Identification Strip
SF 63	Memorandum of Call
SF 65A	U. S. Government Messenger Envelope
SF 65B	U. S. Government Messenger Envelope
SF 65C	U. S. Government Messenger Envelope
SF 66	Official Personnel Folder
SF 66B	Label - Caution Personnel Records, Restricted Use
SF 66C	Merged Records Personnel Folder
SF 66D	Employee Medical Folder
SF 76	Federal Post Cord Registration and Absentee Ballot Request (FPCA)
SF 87	Fingerprint Chart
SF 87A	Fingerprint Chart (Without ORI Number)
SF 97	The United States Government Certificate to Obtain Title to a Vehicle
SF 149	U. S. Government National Credit Card
SF 186	Federal Write-In Absentee Ballot
SF 215	Deposit Ticket
SF 215A	Deposit Ticket (IRS)
SF 215B	Deposit Ticket (Customs)
SF 215C	Deposit Ticket (EFT)
SF 215D	Deposit Ticket
SF 260A-E	Firefighter Personal Property Tag
SF 261	Crew Time Report
SF 278	Public Financial Disclosure Report
SF 519A	Radiologic Consultation Request/Report
SF 519B	Radiologic Consultation Request/Report
SF 521	Clinical Record - Dental
SF 525	Medical Record - Radiation Therapy Summary
SF 545	Laboratory Report Display
SF 546	Chemistry I
SF 547	Chemistry II
SF 548	Chemistry III (Urine)
SF-549	Hematology
SF-550	Urinalysis
SF_551	Serology
SF-552	Parasitology
SF-553	Microbiology I
SF-554	Microbiology II
SF-555	Spinal Fluid
SF-556	Immunohematology
SF-557	Miscellaneous (Lab Form)
SF-603	Health Record - Dental
SF-603A	Health Record - Dental Continuation
SF-700	Security Container Information

SF-703	TOP SECRET Coversheet
SF-704	SECRET Coversheet
SF-705	CONFIDENTIAL Coversheet
SF-706	TOP SECRET (Label)
SF-707	SECRET (Label)
SF-708	CONFIDENTIAL (Label)
SF-709	CLASSIFIED (Label)
SF-710	UNCLASSIFIED (Label)
SF-711	DATA DESCRIPTOR (Label)
SF-712	CLASSIFIED SCI (label)
SF-1081	Voucher and Schedule of Withdrawals and Credits
SF-1094	U.S. Tax Exemption Certificates
SF-1103	U.S. Government Bill of Lading
SF-1166 OCR	Voucher and Schedule of Payments
SF-1166A OCR	Voucher and Schedule of Payments - Memorandum
SF-1167 OCR	Voucher and Schedule of Payments - Continuation Sheet
SF-1167A OCR	Voucher and Schedule of Payments - Continuation Sheet - Memorandum
SF-1169	U.S. Government Transportation Request
SF-1203	U.S. Government Bill of Lading - Privately Owned Personal Property
SF-1402	Certificate of Appointment
SF-5515	Debit Voucher
SF-5515A	Debit Voucher
SF-5958	OCR Check Issue Transmittal
SF-5958A	OCR Check Issue Transmittal

Optional Forms

OF-16	Sales Slip & Sale of Government Personal Property
OF-17	Sealed Bid Label
OF-23	Chargeout Record
OF-24	Shelf File Chargeout Record
OF-25	Shelf File Chargeout Record
OF-55	U.S. Government Identification Card
OF-70	Fragile (Label)
OF-70A	Fragile (Pressure Sensitive Label)
OF-71	Fragile (Label)
OF-71A	Fragile (Adhesive - Backed Label)
OF-72	Fragile (Label)
OF-73	Method II Package (Label)
OF-74	Method II Package (Label)
OF-77	Caution - Unscrew this bung slowly (Label)
OF-78	Caution - Magnetic Equipment (50 feet) (Label)
OF-80	999 (Label)
OF-81	999 (Label)
OF-82	999 (Label)
OF-83	NMCS (Not Mission Capable Supply) (Label)
OF-84	NMCS (Not Mission Capable Supply) (Label)
OF-85	Fragile - Magnetic Tape (Label)
OF-86	Personal Data (Warning) (Adhesive Backed Label)
OF-86A	Personal Data (Warning) (adhesive Backed Label)

OF-87	Caution - Sensitive Electronic Devices (Adhesive Backed label)
OF-87A	Caution - Sensitive Electronic Devices (Adhesive Backed Label)
OF-88	Caution - Sensitive Electronic Devices (Adhesive Backed Label)
OF-95	Open - Locked (Sign)
OF-99	FAX Transmittal (Label)
OF-112	Classified Material Receipt
OF-120	Diplomatic Pouch Mail Registration
OF-124	Limited Official Use - Cover Sheet
OF-155A	Immigrant Visa and Alien Registration
OF-158	General Receipt
OF-185	Outgoing Telegram (OCR)
OF-185A	Outgoing Telegram (OCR) (Continuation Sheet)
OF-191	Outgoing Telegram (OCR - Overseas)
OF-191A	Outgoing Telegram (OCR - Overseas) (Continuation Form)
OF-232	Unrecognized Passport/Blank Waiver Cases
OF-233	Consular Cash Receipt and Record of Fees
OF-263	Requisition for Equipment, Supplies, Furniture, etc.
OF-274	Equipment Warranty (Label)
OF-288	Emergency Firefighter Time Report
OF-291	Emergency Vehicle Identification
OF-297	Emergency Equipment Shift Ticket
OF-302	Excess Property Inspection Certification
OF-304	Emergency Equipment Fuel and Oil Issue
OF-305	Emergency Equipment Rental Use Envelope
OF-346	U.S. Government Motor Vehicle Operator's Identification Card

Handbook 18
Information Services

Part IV

AID Sources of Information

AGENCY for INTERNATIONAL DEVELOPMENT
DEPARTMENT OF STATE
WASHINGTON, D.C. 20523

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE September 1, 1983	TRANS. MEMO NO. 18-IV:4 R*

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

Part IV: AID Sources of Information, including the Tab

Part IV of Handbook 18 has been revised completely.

SUPERSEDES:

Part IV, including the Tab, of Handbook 18 (TM's 18-IV:1, 18-IV:2, and 18-IV:3).

FILING INSTRUCTIONS:

1. Remove superseded Part IV as indicated under SUPERSEDES.
2. File the attached in its place.
3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-IV:4 .

* * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 18-IV:4 in the front of the Handbook binder.

* * * * * *

Address questions about Part IV of this Handbook to S&T/DIU.

* This is a REORDER of Handbook 18, Part IV, upthrough and including TM 18-IV:4.

KEEP YOUR AID HANDBOOK UP-TO-DATE

HANDBOOK 18 - INFORMATION SERVICES

PART IV - AID SOURCES OF INFORMATION

TABLE OF CONTENTS

PAGE

CHAPTER 1 Library Services Available to A.I.D.
- 1A. Introduction 1
- 1B. Services Available from The Library of The Department of State 1
  - 1. General 1
  - 2. Loan and Reference Services 1
  - 3. Interlibrary Loan Service 2
  - 4. Loans to AID Personnel Overseas 2
- 1C. AID-State Liaison 3
- 1D. Other Library Services 3
  - 1. Map Library of the Department of State 3
  - 2. Research Reports on Foreign Areas Produced for the Department of State 3
  - 3. Law Library Services 4
- 1E. Purchase of Books and Periodicals for AID/W Bureaus and Offices 4

CHAPTER 2 AID's Development Information and Reference Services 1
- 2A. Introduction 1
- 2B. Development Information Services 1
  - 1. Publications and Information Division Services (S&T/TRI/PI) 1
  - 2. The Development Information and Utilization Service (PPC/E/DIU) 1
- 2C. AID Development Information Centers 2
  - 1. Location of the DIC's 2
  - 2. Policy 2
  - 3. DIC Services 3
  - 4. How to Obtain Services and Materials 4
  - 5. DIC Collection Criteria 5
  - 6. Requirements for Submission of AID Documents 6, 7

CHAPTER 3 - Sources of Information and Assistance Throughout AID 1
- 3A. Purpose 1
- 3B. Economic and Social Data on the Developing Countries 1
  - 1. Sources 1
  - 2. Data Services 1
  - 3. Statistical Publications 2

PAGE

3C. Program and Planning Assistance, Including Research and Evaluation 3
1. Program and Planning Services 3
2. Information Required for Presentations and Inquiries 4
3. Data on AID and other U.S. Programs 4
4. Documents from Multilateral Institutions . . . 5
5. Information on Aid from Communist Countries . 5
6. Central Research Program 5
7. Information on U.S. Universities 5
8. Evaluation 6

3D. Technical Information and Services, by Field of Activity. 7
1. Agriculture. 7
2. Cooperatives. 8
3. Development Administration 8
4. Education 9
5. Energy 10
6. Engineering 11
7. Food Assistance 11
8. Foreign Disaster Assistance 12
9. Forestry, Environment and Natural Resources . 12
10. Health 13
11. Housing and Urban Development 13
12. Nutrition 15
13. Participant Training 15
14. Population 16
15. Private Enterprise 16
16. Regional and Area Development 17
17. Voluntary Agencies 18
18. Women in Development 19

3E. Management Information and Services. 20
1. Contractor Information 20
2. Lists of AID Contracts 21
3. Supply and Procurement 21
4. Marking 22
5. Shipping 22
6. Financial Information 22
7. List of Available Agency and Mission Recurring Reports 25

P R E F A C E

This Part IV of Handbook 18 - Information Services, is entitled "*AID Sources of Information*" and describes the various sources that can provide information and services to assist in the planning, implementation, and evaluation of AID programs, such as library services, the AID Reference Center, the AID Bibliography Series, and other sources of information and assistance.

Other sections of the complete Handbook 18 are:

Part I - Directives
Part II - Information to the Congress
Part III - Information to the Public
Part V - Automatic Data Processing Services
Appendix A - AID Forms Catalog
Appendix B - Listing of Recurring Reports
Appendix C - Deleted
Appendix D - *The AID Code Book*
Appendix E - Deleted

Address questions about Part IV to S&T/DIU.

PART IV

CHAPTER 1

LIBRARY SERVICES AVAILABLE TO THE AGENCY FOR INTERNATIONAL DEVELOPMENT (AID)

1A. Introduction

This chapter describes the various library and reference services available to AID's Washington offices and overseas posts, and establishes procedures for their use.

1B. Services Available from the Library of the Department of State

1. General

Library services are provided to AID personnel by the Department of State Library. The Library maintains a central facility containing a comprehensive collection of foreign and domestic publications on foreign affairs and related subjects. It provides acquisition, cataloging, circulation, reference, and bibliographic services to make its information readily available.

2. Loan and Reference Services

a. Reading Room

A general Reading Room is maintained as a focal point for all direct services to library users. Located in Room 3239, it is open Monday through Friday from 8:15 a.m. to 5:00 p.m., except on legal holidays.

b. Circulation Service

(1) General

All publications in the Library collections, except those on reference reserve, are available on loan. Requests may be made in person or by telephone. Requestors are expected to supply pertinent data needed to identify the requested publication.

(2) Conditions of Loan

Library materials are normally lent for 2 weeks. If this period is not sufficient, an extension may be granted on request. Publications must be returned, however, when recalled. Until this is done and the Library's loan records are cleared, the borrower is responsible and financially liable for the publication's replacement. Cost of replacement is determined by the Library.

(3) Announcement of New Acquisitions

The Library distributes monthly to AID/W bureaus and offices a listing of recent acquisitions. Listed publications may be obtained on loan or used in the Reading Room.

c. Reference Service

The Library's reference staff provides full reference and readers advisory services to users. Services include checking and verification of bibliographic data, identification and assembling of publications requested, and searching and supplying of substantive reference information from sources in the collection and from various automated data bases. In addition, information is provided on the resources and specialized services of other libraries and institutions and arrangements are made for their use.

3. Interlibrary Loan Service

a. General

To supplement the central collection, the Library maintains interlibrary loan relations with a number of libraries throughout the United States. The arrangement is voluntary on the part of each participating library, and its continuance depends on strict observance of the mutually agreed upon conditions of loan.

b. Conditions of Loan

Requests for publications from another library are placed with the Library's Interlibrary Loan Librarian. Publications so obtained may be retained only for the period indicated (normally 2 weeks). If a longer period is required, the Interlibrary Loan Librarian forwards the request to the lending library. Its decision to extend or not to extend will be accepted as final. The borrower is responsible for prompt return of publications when due and is financially liable for their replacement if lost.

4. Loans to AID Personnel Overseas

Whenever possible, the Library provides loan services to AID personnel in AID posts overseas. The Library will lend items in its collections, with the exception of new materials, those in demand in Washington, difficult to replace materials, and those in poor condition. The loan period is two months. Materials are sent by air pouch and must be returned by air pouch.

1C. AID-State Liaison

AID's Development Information and Utilization Service (S&T/DIU) maintains liaison with the Department of State Librarian for the purpose of recommending books, periodicals, and official documents of interest to AID for adding to the Library collection.

Other domestic and foreign publications on foreign affairs and development that will enrich the central library collection -- except AID-generated documents required by the AID Development Information Centers -- may be donated to the Library, and AID personnel are encouraged to personally support development of its collection. (See Chapter 2 for documents and services of the Development Information Centers.)

1D. Other Library Services

The services of the following facilities are also available to AID personnel:

1. Map Library of the Department of State

Maps of all areas of the world needed for official purposes are available from the Map Library. If a particular map is not available in the Library collection, either for retention or loan, it will be obtained from domestic sources or through the Inter-Agency Map Procurement Program operating overseas.

AID Missions and overseas offices may obtain maps for official use by addressing an Operations Memorandum to the Department, INR/M, under the heading "Map". AID/W personnel may obtain the services by a personal visit to Room 3239 or by telephoning the Map Library on 632-1079.

2. Research Reports on Foreign Areas Produced for the Department of State

Research papers on foreign areas and international relations, including those on developing countries, may be requested by AID personnel from the State Department's Bureau of Intelligence and Research. Requests to borrow State-supported contract studies should be made to the Department of State Library or to the Office of Long-Range Assessments and Research (INR/LAR). Requests for papers prepared within the Department should be made to the Reports Coordination and Review Staff (INR/RCRS).

1D

3. Law Library Services

a. AID's Office of the General Counsel maintains legislative histories of the Foreign Assistance Act and opinions of the General Counsel on the Mutual Security Act and Foreign Assistance Act. These materials are research tools and must be used within the room, but Xeroxing is available. Also available for reference and research by AID personnel are various periodicals, law journals and reporter services.

b. The Library of the Office of the Legal Adviser, Department of State, is also open to AID personnel, on a restricted basis. Its collection is an all-reserve collection and must be used within the room. Xeroxing privileges are available.

1E. Purchase of Books and Periodicals for AID/W Bureaus and Offices

The Office of Management Operations, Resource Management Division (SER/MO/RM), purchases all books and periodicals used and maintained within AID/W Bureaus and Offices. Procedures for ordering them are contained in Handbook 20, Chapter 8.

CHAPTER 2

AID'S DEVELOPMENT INFORMATION AND REFERENCE SERVICES

2A. Introduction

This chapter describes information services designed specifically for carrying out AID's development assistance programs. They utilize various means of information, including data bases, inquiry and response services, publications, information centers, technical assistance and information consulting. Their purposes are to supply the development information needed for programs and projects, and to improve the handling and dissemination of development information in AID and the LDC's.

2B. Development Information Services

1. The Publications and Information Division of the Science and Technology Bureau (S&T/TRI/PI) will:

a. Collect and analyze scientific and technological materials and, based on the analyses, prepare and disseminate papers, handbooks and other publications for AID's S&T professionals and their counterparts in the United States and overseas.

b. Initiate and assist in the development of training programs and conferences to promote the exchange of ideas and research findings within the science and technology community.

c. Provide guidance in the development of information strategies for programs and projects.

d. Provide technical assistance in the design, implementation or evaluation of country, regional and central projects that use development communications.

2. The Development Information and Utilization Service of the Bureau for Program and Policy Coordination (PPC/E/DIU)

a. DIU provides technical assistance in information management through its Documentation and Information Division (DIU/DI). Assistance is provided in the design, implementation and evaluation of AID projects that have information components such as:

(1) libraries,
(2) information clearinghouses, and
(3) information data bases (except for the design, implementation and evaluation of their ADP components, which are a function of M/SER/IRM).

b. DIU's Economic and Social Data Services Division (ESDS) provides technical assistance in surveys, data collection and analysis. Assistance is given to researchers, analysts, economists, and project designers for:

(1) sector surveys,
(2) institution building overseas,
(3) utilization of statistical software packages, and
(4) AID/W technical review of project documents.

(Per Part V, IG5 of this Handbook, responsibility for final review and approval for items (3) and (4) above rests with M/SER/IRM.)

2C. AID Development Information Centers. A primary function of DIU is to provide library, reference and other information services to AID personnel in Washington and overseas through two AID Development Information Center (DIC) facilities located in AID Washington.

This section describes the DIC's and the materials available, the services they offer and how to obtain them, the criteria for selecting and cataloging documents, and the responsibilities of other AID/W and Mission offices in the gathering and handling of AID documents.

1. Location of the DIC's

The State Department site in Washington, Room 1656, New State, telephone (202) 632-8701, maintains a collection that emphasizes development policies and programs and that contains many AID program-related documents. The Rosslyn Plaza site in Rosslyn, Virginia, Room 105, SA-18, telephone (703) 235-1000, has a collection that emphasizes technical literature from AID and other sources. Requests for services or publications may be made by letter, cable, phone call or personal visit. "Walk-in" users are welcome to use materials at the reading rooms or to take them out on loan.

2. Policy

The Centers are the central depositories for all AID-generated documents that deal with research findings and the planning, implementation and evaluation of AID projects and programs. The Centers' holdings are not subject to retirement or planned destruction and are held as long as determined useful for reference. Copies of all AID-generated documents that meet the DIC collection criteria must be held in the Development Information Centers. See Sections 5 and 6 below for the collection criteria and the requirements that Bureaus, Offices and Missions have for submitting documents.

3. DIC Services

a. Nature of the Materials

The Centers exist to provide information and materials on development to AID personnel in Washington and the field. The holdings include development materials from outside as well as inside AID. The Centers contain 150,000 reports and publications on development assistance. They are available in hard copy or microfiche. Among them are USDA publications; GAO evaluative reports; FAO and World Bank studies; selected publications from such organizations as the International Development Research Centre in Ottawa, the University of Sussex, the Deutsche Gesellschaft fur Technische Zussammenarbeit and the International Rice Research Institute in the Philippines; Volunteers in Technical Assistance (VITA), the Peace Corps, and Worldwatch. Commercially published books are purchased when requested by AID personnel and are then maintained in the collection.

b. Program Documents

To assist in designing and implementing projects, the Centers will provide AID Offices and Missions with copies of AID programming documents and research and contractor reports for comparative and reference purposes. The Centers provide access to the development experience gained from over 3,000 AID projects and 20,000 AID-generated technical, research and evaluation reports.

c. Literature Searches

The Centers, on request, will perform on-line data base searches that access DIU's computerized development information systems and over 350 commercially available bibliographic and economic data bases such as AGRICOLA, ENERGYLINE, MEDLINE, POPLINE, NTIS, and the Commonwealth Agricultural Bureaux.

d. Document Listings

The Centers will also prepare special listings of documents based on the DIC card catalog and/or the computerized data base.

e. Technical Information Services for Agriculture

Through a cooperative working agreement with the U.S. Department of Agriculture:

(1) DIU answers requests for agricultural information received from AID Offices, Missions, and LDC's and other development institutions.

(2) provides a current awareness literature service (CALS), through which AID and LDC agriculturists regularly receive current agricultural information provided by matching users' stated interests with leading agricultural data bases.

f. Development Publications

DIU has the following publications available:

(1) AID Research and Development Abstracts (ARDA), a quarterly journal that presents abstracts of recently published AID-supported research, technical reports and evaluations.

(2) AID Resources Report, a bi-monthly newsletter published by S&T/TRI/PI that presents information on new technologies and development findings of interest to the development technician.

(3) The Directory of Development Resources, updated biannually, that identifies AID-sponsored development information resources in developing countries and the U.S., including institutional services, data base services and newsletters and journals. A description and address of each resource is provided. The Directory is available in English, Spanish and French.

g. Mailing Lists

(1) DIU maintains a mailing list - the AID Document Distribution System (ADDS), which is a manual/computerized system for disseminating AID research documents and other reports and publications. Through ADDS, the periodical AID Research and Development Abstracts (ARDA) is distributed to its subscribers. Based on subscribers' questionnaires which indicate their subject interests and types of publications desired, specialized mailing lists can be developed.

(2) Mission and AID/W personnel are encouraged to add appropriate addresses to the system and make use of it for their own mailing list needs.

4. How to Obtain Services and Materials

a. The services, publications and documents are available from either PPC/DIU or the Development Information Centers. However,

service will be expedited if users make routine requests -- for example, for specific publications -- directly to the Development Information Centers and more involved requests -- say, technical assistance or extensive literature searches -- to PPC/DIU.

b. As previously indicated, requests may be made by letter, cable, memorandum, telephone or in person.

c. The quality of the response is determined by the quality of the request -- its clarity, specificity and completeness. Requests for documents should give as much information as available -- including title, author, and date published. Requests for literature searches, document listings, and technical inquiries should carefully state the purpose and describe as specifically as possible the subject to be researched.

d. Loans of Documents to AID/W Personnel

The normal loan period for AID/W personnel is two weeks. Loans of documents to contractor, PASA, and grantee personnel located in the United States are made through the AID/W project monitoring office.

e. Loans to Mission Personnel

Mission personnel, like AID/W personnel, should address their requests either to Development Information Center, AID/W or PPC/DIU, AID/W. Requests from contractor and PASA personnel working in the Mission should be made through the project officer. Loans to Missions are normally made for 30 working days.

f. Services to Non-AID Personnel

(1) Persons working in development are welcome to use the DIC collection except for its classified materials. Normally they should make their document requests through their own libraries, as inter-library loans. If copies are desired, they can be purchased from the AID Document Information and Handling Facility, 7222 47th Street, Chevy Chase, Maryland 20815.

(2) Non-AID personnel may have access to the reading rooms, but should first obtain approval from DIU, the country desk, the project or contract officer, or the Office of Public Affairs.

5. DIC Collection Criteria

The Development Information Centers collect and hold AID-generated documents, both current and historical, that record and evaluate the Agency's experience in carrying out development assistance.

These are papers, publications and other materials prepared by AID direct-hire employees, personnel of agencies serving under Participating Agency Services Agreements, contract personnel, and other persons and groups whose work is financed by AID. The documents include:

a. evaluation documents and case studies -- materials that describe experience, assess accomplishments, determine the cause of failures, and discuss potential future applications.

b. special studies and sector analyses -- issues papers, policy and discussion papers, management studies, and analyses of development problems.

c. reports -- feasibility studies, research reports, progress and terminal reports.

d. program planning documents -- Annual Budget Submissions (ABS), the formerly used Development Assistance Program Documents (DAP's) and the Country Development Strategy Statement (CDSS's) that have replaced them.

e. project identification, design, approval, obligation, implementation, and evaluation documents -- PID's (form AID 1330-2), Project Papers, Project Authorizations, ProAgs (AID 1330-17), PES's (AID 1330-15) and Impact Evaluations.

6. Requirements for Submission of AID Documents

a. The Communications and Records Management Division, Office of Management Operations (M/SER/MO/CRM) will make available to the Development Information Centers duplicate copies of all the microfiche generated in the conversion of paper project files to microfiche. Thus, a large part, though not all, of the project documentation identified in preceding para 5 e. will be captured.

b. AID Bureaus, Offices and Missions must submit to the Centers three copies of all reports or documents meeting the collection criteria - except the project documents of preceding paragraph 5e.

c. For documents prepared under contract, PASA, or grant agreements:

(1) AID/W offices originating contract policy and formulating or amending standard contract clauses will ensure that contracts, grants and cooperative agreements contain the requirement of AID Procurement Regulation AIDPR 7-7.5501.13 that three copies of all reports required under the contract, grant or cooperative agreement be sent to PPC/DIU - Acquisitions, Room 209, SA-18.

(2) AID/W offices drafting or amending PASA's between AID and other U.S. government agencies will ensure that the PASA clearly

5C6c(2)

requires the participating agency to send three copies of all AID-generated documents produced under the PASA to the Development Information Centers.

(3) AID Bureaus, Offices, and Missions entering into AID-financed agreements with any other parties will require that the party send three copies of all AID-generated documents produced under the agreement to the DIC.

(4) All AID program and project managers who monitor the performance of contracts and PASA's and the progress of grants and loans are to review operations annually to assure that documents are being submitted to the DIC as required.

d. AID employees and the Bureaus, Offices and Missions are to take the following additional actions to help maintain the DIC collection:

(1) Missions planning to close their own reference (library) facilities often wish to donate their collection to government ministries or local universities. Before contacting the local institution the USAID should prepare a list of all documents proposed for transfer and send it to the DIC for review. The DIC should then be given preference in selecting any items found to be missing from its collection.

(2) AID/W Bureaus or Offices planning to discontinue their own information units or reference functions should get instructions from the DIC before taking action to dispose of their documents.

(3) Employees separating from AID are reminded of statutory limitations on acquiring proprietary interests in official records and creation of "personal" files.

(a) Anyone wishing to remove or dispose of any documentation created or acquired in performance of official duties, or as an adjunct to those duties, must first consult the Communications and Records Management Division, Office of Management Operations for approval.

(b) Any collection of AID-generated documents not needed by the office concerned should be forwarded to the DIC before an employee's departure.

(4) If an AID office is holding the only copy of an AID-generated document and does not want to release it, the Development Information Center will, if feasible, reproduce copies to meet its needs and return the original to the holder. If reproduction is not feasible, the holder should release it to the DIC for cataloging. The document will then be returned to the holder as an indefinite loan, for permanent release to the DIC when no longer required by the holder. Should the copy have to be retired as an official Agency record, the DIC is to be so notified and supplied with its accession and shelf list number.

- -

CHAPTER 3

SOURCES OF INFORMATION AND ASSISTANCE THROUGHOUT AID

3A. Purpose

1. This chapter identifies the sources of economic, technical, and financial information and assistance available to AID Offices and Missions. The listed sources serve primarily the AID organization and through it the institutions of developing countries. Some of the sources will extend their information and advisory services to other international, national, and private organizations engaged in development.

2. AID organizations may address the responsible offices listed at the beginning of each description of the services offered and forward their request through the AID mail system. Organizations outside AID may use the following address in requesting information or services:

(Name of Office)
Agency for International Development
Washington, D.C. 20523

3B. Economic and Social Data on the Developing Countries

1. Sources

The Economic and Social Data Services Division (PPC/E/DIU/ESDS) offers basic economic, demographic, and social data on the developing world, by country and region. Data are based on uniform concepts and definitions to permit intercountry and interregional comparisons. The main sources of information are:

a. The United Nations, its specialized agencies (FAO, WHO, UNESCO, PAHO, and ILO), and regional commissions (ECLA, ECAFE, and ECA).

b. International institutions (IBRD, IMF, and regional development banks).

c. U.S. Government agencies.

d. U.S. Embassies.

e. AID Missions and overseas Offices.

2. Data Services

Available services that can be provided by DIU/ESDS include:

a. Statistical Library - ESDS maintains a statistical library that will provide the user with quick access to World Bank, IMF, UN and host country economic, financial and social reports. Librarian assistance and working space can be arranged by appointment.

b. Statistical Reports - Drawing on automated data bases in the World Bank, IMF, USDA and private sources, ESDS can research information on most countries of the world. Subject to staff availability, specially tailored presentations will be arranged for AID requestors.

c. Graphics Capability - On a limited basis ESDS can provide specially tailored computer drawn maps, graphs and charts drawn from its economic and social data bases. These can be produced in multicolors or black-and-white, in letter size or wall chart size.

d. Micro-Data Inventory - To meet demand for very specific micro-data, ESDS has developed a large inventory of survey results from a wide range of economic and social development related subjects. If your needs are known with sufficient specificity, the data can be located through an automated inventory.

e. Surveys and Evaluation - ESDS administers two RSSA's with the Surveys & Evaluation Unit (SEU) of the Bureau of Census, one each with DA and ES funds. With its staff of approximately 30 professionals available to work both in the United States and abroad on data collection or institutional development, SEU is especially helpful in project start-ups and project evaluations.

3. Statistical Publications

The following principal statistical publications are distributed in AID. Offices not receiving copies may ask to be added to the distribution list or may obtain copies by request.

a. ALLDATA Reports - tally all the data in ESDS data banks on an individual country.

b. Economic and Social Data Bank's Data Element Dictionary - provides definitions and source information for all variables in the ESDS data bank.

c. Selected Statistical Data By Sex - available for 69 AID-assisted countries, provides selected demographic and social data by sex.

d. Indicators Of Food and Agriculture in AID-Assisted Countries - offers handy reference to the status of the food and agriculture sectors in AID countries.

e. Indicators of Education In AID-Assisted Countries - offers handy reference to the status of the education sector in AID countries.

f. Indicators of Nutrition In AID-Assisted Countries - offers handy reference to the status of the nutrition sector in AID countries.

g. Agriculture and Food Production Statistics - available for various regions of the world, provides agricultural production data on a commodity-by-commodity basis.

h. Country Development Strategy Statement (CDSS) Data Abstracts. DIU/ESDS prepares sets of uniform social and economic data to be used by Agency personnel in development and review of the annual Country Development Strategy Statements. These are packaged and made available to all parties involved in the CDSS process, thereby simplifying CDSS preparation and assuring that everyone uses uniform, up-to-date data.

i. Congressional Presentation Economic and Social Data For AID Recipient Countries. ESDS summarizes, in the annual Congressional Presentation, all economic and social data statistics for AID recipient countries. The Congressional Presentation volumes are available, through the Office of Legislative Affairs (LEG), to AID Offices and Missions for reference purposes.

j. 620(s) Report. ESDS summarizes the latest available information on defense expenditures in those countries that receive U.S. assistance under programs subject to the provisions of Section 620(s) of the Foreign Assistance Act.

3C. Program and Planning Assistance, Including Research and Evaluation

1. Program And Planning Services

PPC's Office of Policy Development and Program Review (PPC/PDPR)

a. Provides Missions and AID/W Offices, on request, advice and assistance on macroeconomic projections and general economic analyses.

b. Issues and distributes to AID/W and Missions discussion papers based on seminars, special studies, and research by staff members and outside consultants on economic, political, and social problems. Additional copies are available on request.

c. Provides, on request, advice and assistance on civic participation and other Title IX activities.

d. Provides, on request, information and supporting services for the recruitment of individual advisors, consultants and institutions to plan, advise and train in the United States and overseas.

e. Provides research reports and publications in economic, social and political development and distributes them to Missions, interested organizations and individuals.

f. Sponsors and distributes the "Development Digest," a journal of selected excerpts, summaries, and reprints of current materials on economic and social development to AID/W, missions, and to interested organizations and individuals in developing countries. Subscriptions to the Development Digest may be obtained free of charge in Africa, Asia, and Latin America by persons with a professional concern through AID missions, or if there is no AID office, from the U.S. Embassy, or they may contact the Office of Policy Development and Program Review, Bureau for Program and Policy Coordination, Washington, D.C. 20523. Organizations and individuals in the United States, North America, Europe, Japan, Australia and New Zealand may purchase a subscription from the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402.

2. Information Required for Presentations and Inquiries

PPC's Program Information Analysis Division (PPC/PB/PIA) provides AID/W Bureaus and Offices with background information, statistics and presentation suggestions for use in Congressional presentations, briefings, speeches, responses to Congressional and public inquiries, and research.

3. Data On AID and Other U.S. Programs

a. PPC/PB/PIA provides statistical data on U.S. economic programs, including analyses of many phases of AID programs, drawing on PPC/PB/PIA and AID operational information, and information from other agencies and international organizations.

b. PPC/PB/PIA distributes the publication, U.S. Overseas Loans and Grants and Assistance from International Organizations (Reports Control Symbol CONG-R-0105).

This annual "Green Book" provides, by years, total U.S. economic and military assistance information, by country and major program, beginning with fiscal year 1946. It also includes information on other U.S. official economic programs as well as assistance from international organizations.

Offices not receiving copies may ask to be added to the distribution list or obtain current copies by special request. Copies of previous issues are available in PPC/PB/PIA.

3C

4. Documents from Multilateral Institutions

a. The Office of International Affairs (PPC/IA)

Maintains files on loans and reports of the World Bank, International Development Association, International Finance Corporation, Export-Import Bank, National Advisory Council, Asian Development Bank and the International Fund for Agricultural Development. Loan copies can be obtained or retention copies ordered through PPC/IA.

b. The Office of Development Programs (LAC/DP), Bureau for Latin America and the Caribbean, maintains files on Inter-American Development Bank programs. Loan or retention copies can be requested from LAC/DP's Multilateral Affairs Division.

5. Information on Aid From Communist Countries

PPC/PB/PIA serves as a focal point in AID to receive and provide information on the amounts and kinds of assistance communist countries provide to the less developed countries.

6. Central Research Program

The Research and University Relations Staff (S&T/RUR):

a. Serves as a contact point for unsolicited proposals for centrally funded research. S&T/RUR acknowledges receipt of the proposal, arranges to have it reviewed and considered for support within technical offices, and sends the offeror the Agency's response.

b. Has available the brochure Contract Program in Centrally Funded Research which describes the broad areas of the centrally funded program for which research proposals can be submitted, and which contains guidelines for preparing and submitting an unsolicited proposal to AID.

c. Serves as contact point for university relations questions, particularly regarding policies and procedures for implementing Title XII legislation (for the participation of U.S. agricultural universities in Famine Prevention and Freedom from Hunger).

7. Information on U.S. Universities

a. Available through the Board for International Food and Agricultural Development (BIFAD), located in AID/Washington, is the Registry of Institutional Resources (RIR). This is a central depository of information that describes the international capabilities of U.S universities in agriculture, natural resources, nutrition and rural development.

3C7a

RIR is an information file that makes the knowledge and experience of U.S. universities available for carrying out U.S. foreign assistance programs. It provides:

(1) General information on the overall nature of the university, its staff and its international linkages.

(2) Detailed information on subject areas of assistance programs in which universities wish to participate.

(3) Information on individual university staff members who want their names and experience on file for work in international activities.

(4) Information on previous U.S. university assistance efforts in developing countries.

b. Also available is a listing of AID university contracts. See Lists of AID Contracts, 3E2b, page 3-21.

8. Evaluation

a. PPC's Office of Evaluation, PPC/E is a primary source for two types of evaluation information:

(1) Guidance materials dealing with the evaluation system and evaluation methods. The Evaluation Systems Division of the Office (PPC/E/PES) produces evaluation guidance material and methodological reports. The basic evaluation guidance for the Agency is produced as a supplement to Handbook 3, Project Assistance, and is circulated with that handbook. Additional copies can be obtained from PPC/E/PES.

(2) The results of AID impact evaluations. The Studies Division of PPC/E, which manages the impact evaluation program for the Agency, produces a report on each completed evaluation. It is automatically circulated to each Mission. Additional copies can be secured from PPC/E/S or from PPC/E//DIU.

(3) PPC/E/PES also produces a report series called Program Design and Evaluation Methods. Copies of reports in this series can be obtained from PPC/E/PES or from PPC/E/DIU.

(4) In addition, PPC/E produces three other series of reports: Evaluation Discussion Papers, Program Evaluations, and Special Studies. In these series, PPC/E publishes significant manuscripts prepared in AID's Regional and Central Bureaus by contractors or from within the Office of Evaluation. All of these reports are available through PPC/E/DIU.

3C8a

Each of the PPC/E reports includes a listing of all publications in each of the five series. It serves as a ready reference for those wishing to order specific documents.

b. IG's Regional Inspectors General for Audit issue audit reports, many of which are evaluations of projects, programs and Agency operations. The audit results are generally issued by the RIG/A in the region in which the program is located. These reports are sequentially numbered by the issuing RIG/A and are provided to all AID entities having responsibility for implementing recommendations. Additional copies of the reports are available from the RIG/A or from the Office of the Inspector General (IG/EMS/C&R) in AID Washington.

c. The General Accounting Office conducts reviews and issues reports on Agency operations. These reports, usually of an evaluative nature, are provided to technical staff, Agency management and usually the Congress. Copies of these reports can be obtained from the Public Desk at the GAO Headquarters Building in Washington, D.C. or through the Agency's Liaison Officer with GAO in IG/PPP, AID/W.

3D. Technical Information and Services, by Field of Activity

1. Agriculture

The Office of Agriculture (S&T/AGR) performs the following information services:

a. Provides agricultural assistance, technical recommendations and information from U.S., LDC and International Research Center sources for preparation of PID's and Project Papers, project implementation, interim and final evaluations, and CDSS presentations.

b. Answers requests for technical information on specific agricultural questions in most agricultural disciplines, drawing on the USDA, land grant universities, International Research Centers and other U.S. and LDC public and private sources.

c. Provides information and assistance to Missions and Regional Bureaus for preparing initial environmental examinations and environmental assessments on the procurement and use of pesticides to conform to the special requirements of AID regulations.

d. Provides AID agricultural project personnel and host government officials up-to-date information on U.S. and international regulations on pesticides, including abstracts of safety data, copies of labels, acceptable procedures for application and current regulatory status.

e. Distributes to Missions and developing country institutions publications, articles, training materials and other technical literature developed or procured for priority AID assistance areas.

f. Distributes to AID Bureaus, Missions, the academic community, individual scientists and development technicians copies of technical publications developed by A.I.D., the International Research Centers and S&T/AGR contract institutions (USDA, land grant universities and others).

g. Distributes, on request by Bureaus and Missions, reports developed under technical assistance contracts, PASA's, RSSA's and grants.

h. Prepares and circulates to AID Bureaus, Offices and USAID's, and, on request by developing country institutions, periodic reports that summarize ongoing research and technical assistance projects in S&T/AGR and lists of scientists, technicians and experts available through the Office.

i. The Office of Multisectoral Development (S&T/MD), in conjunction with S&T/AGR, maintains an extensive bibliography of marketing publications and a roster of individuals with expertise in marketing and distribution. The roster is routinely updated and cross lists experts by country experience, language ability and topical specialization.

2. Cooperatives

a. The Cooperative Development unit (FVA/PVC/CD) of the Office of Private and Voluntary Cooperation carries out its functions through the following organizations:

.. Cooperative League of the U.S.A.
.. Credit Union National Association
.. Foundation for Cooperative Housing
.. Agriculture Cooperative Development International
.. National Rural Electric Cooperative Association
.. Volunteer Development Corps

b. Under various funding arrangements with AID these organizations provide, on a continuing basis:

(1) A directory of qualified specialists in cooperatives, credit unions and savings and loan associations as an aid to recruitment, and they serve as a clearinghouse for AID on U.S. cooperative resources.

(2) They also provide and distribute to AID Bureaus, Offices, and Missions technical information and educational and training materials on cooperative development, and assist in development of participant training programs.

3. Development Administration

a. The Office of Multisectoral Development (S&T/MD) helps adapt and disseminate management methods suited to developing countries. The work deals mainly with institutional development and management for local and rural development, and with financial management. Research and development treats

the following subjects: program and project management, local revenue, management training and learning systems, institutional development, and the processes of bureaucratic change.

b. The main sources of information are:

-- S&T/MD's cooperating institutions, contractors and consultants.

-- AID program materials and evaluations.

-- Professional organizations, societies, and staff members.

-- U.S. and foreign universities and management institutes.

-- Other international organizations.

c. S&T/MD maintains some materials for distribution to other AID offices and developing country cooperating institutions. Most of the materials are produced by U.S. universities or research centers supported by AID.

4. Education

The Office of Education (S&T/ED)

a. Provides periodically, through the Human Resources Sector Council, selected professional materials to be used primarily by AID education advisors.

b. S&T/ED provides information, on request, about the following areas of concentration: pre-primary, primary, secondary, and post-secondary education and training; education finance and sector analysis; education technology; nonformal education; and higher education for development. Available material includes papers on project design, implementation and evaluation, and final reports of project activities. Requests should be addressed to S&T/ED, Room 311, SA-18.

c. S&T/ED funds the Clearinghouse for Development Communications. This information center provides the following services on educational technology for development:

.. seminars and information
.. searches
.. linking of resources
.. information collection
.. library services
.. publications and products

3D4c

Requests for these services should be addressed to:

The Clearinghouse for Development Communications
1414 22nd Street, N.W.
Washington, D.C. 20037

5. Energy

The Office of Energy (S&T/EY) has a staff of professionals with background in energy policy and conservation, conventional and renewable energy technologies, energy technology and management training, and energy program management.

The Office seeks to ease LDC energy constraints to development and to help the LDC's make a transition to the mix of energy sources required by their economies. LDC's are helped to conserve energy and use it more efficiently -- employing both conventional and alternative indigenous resources, and to minimize the costs associated with scarce, expensive imported fuels. The Office of Energy offers the following kinds of assistance:

a. General Technical Services. Technical reviews and evaluations; support for workshops, conferences and seminars; coordination among donors and technical agencies; provision of institutional and individual expertise for design, implementation and evaluation of projects.

b. Energy Planning. Assistance to LDC public and private sectors in formulating energy policies and strategies; analysis of demand by sector; selection of energy conversion technologies; provision of on-site training in survey and planning techniques.

c. Energy Training and Institutional Development. Training of LDC planners, industry officials and decision-makers and mid-level technical personnel; consultation on institutional development plans.

d. Increasing Energy Supplies. Help to LDCs to explore, develop and market indigenous oil, natural gas and coal resources through technical assistance and training; accelerate the shift to nonconventional energy sources, through site-testing, demonstration and evaluation of new energy conversion technologies; conduct natural resource reconnaissance surveys; promote low-cost, small-scale energy conversion technologies; expand supplies of woodfuel and charcoal; promote better use of bioresources.

The Office of Energy also serves as contact point for AID, other USG personnel, and private entities concerned with AID energy programs. The Office

e. Refers opportunities for the sale of U.S. technical services and products in energy to the Trade and Development Program.

f. Supplies U.S. companies and technical consulting firms with background and information about AID energy programs and LDC needs and interests upon request.

g. Maintains a roster of Indefinite Quantity Contractors qualified to undertake quick, short duration consultancies on conventional and renewable energy capabilities.

h. On request, makes available energy technology publications from its cooperative agreement recipients, grantees and contractors.

6. Engineering

The Office of Engineering (S&T/ENGR) has available, on request:

a. Criteria on project appraisal, pre-feasibility and feasibility analyses, cost estimating, benefit-cost evaluations, desalination technology, and environmental assessment.

b. Indefinite Quantity Contracts (IQC's) for Architect/Engineer services which all AID Offices and Missions may call on for studies, surveys, planning, advice, environmental problems or other A/E services.

c. Engineering expertise in appraising and evaluating contractor claims against borrower/grantee or AID.

d. Through the Agency's Engineering Council, consultative and advisory services on all architectural, engineering, and construction matters concerning technical inputs in the development, implementation, and evaluation of Agency policies, strategies, programs, and projects.

e. S&T/ENGR prepares and distributes the following publications to A.I.D. Bureaus, Offices, and Missions:

(1) An information packet for architect-engineer firms and construction contractors describing AID's procurement procedures for these services.

(2) A list of firms holding current AID-financed engineering and construction contracts.

(3) A bi-monthly Engineering Newsletter. This letter is an informal means of communicating general and technical advisory information on architectural, engineering, and construction topics.

7. Food Assistance - The Office of Food for Peace (FVA/FFP)

FVA/FFP offers the following services:

a. Represents AID in dealings with other agencies on Food for Peace programs (Public Law 480, as amended.)

b. Assists the U.S. Department of Agriculture in preparing the "Food for Peace Annual Report" to the U.S. Congress on agricultural export activities carried out under Public Law 480. The report is distributed

to the Congress, AID Bureaus and Offices, USAID Missions and diplomatic posts, other Federal agencies, voluntary agencies, private organizations and other interested parties. Additional copies are available on request.

8. Foreign Disaster Assistance

The Office of U.S. Foreign Disaster Assistance (OFDA) provides:

a. Reports on Foreign Disaster Emergency Relief (Reports Control Symbol W-588/A) for cases in which the U.S. Government has provided assistance. These reports are distributed selectively to the Congress, State and AID Bureaus and Offices, other Federal agencies and international organizations. They are also made available to universities and private individuals when requested and available.

b. Country Profiles of 32 countries plus two regional profiles (the Caribbean countries and islands of the Indian Ocean) and two surveys (Housing Survey for Disaster Relief and Preparedness in Latin America and Sahel Transportation Survey) are available in paper copy or microfiche. AID users may obtain them through the AID Development Information Center. For other users, the Center will provide ordering and price information.

c. A Glossary of International Disasters is available from the AID Development Information Center.

d. Summary Tables of selected financial data can be requested by fiscal year, country and disaster type. They are available from the AID Development Information Center.

e. Bibliographies of selected OFDA library materials on disaster preparedness, housing, food and nutrition are available in OFDA. Review of these materials should be conducted on the premises.

f. Technical guidelines for disaster preparedness and relief activities are available to AID/W, Missions, and selected relief agencies.

g. An OFDA Publications List, which consists of titles and brief descriptions of other materials not listed above, is available from OFDA.

9. Forestry, Environment and Natural Resources

The Office of Forestry, Environment and Natural Resources (S&T/FNR) has available the following information and services:

a. A forestry support program to provide technical services and information for project identification, design and review in such areas as watershed management, forestry economics, agroforestry, plantation establishment, entomology and soils.

3D9

b. A natural resources information program to prepare state-of-the-art review papers, case studies and project design aids. A periodic technical bulletin is sent to AID Missions and LDC institutions.

c. Technical assistance for environment and natural resources planning and management which taps the expertise of an international network of scientists.

d. IQC contracts in environment and natural resources which Missions can access very quickly.

e. Technical guidance from direct hire staff and consultants in forestry, environment and remote sensing.

f. Cooperative arrangements with international organizations in agroforestry to make information and training available to Missions.

10. Health

Information services are provided to AID Missions, host governments, and other development organizations, mainly through several contracts funded by the Office of Health (S&T/H). Information services cover the three main areas of AID's health programs: primary health care delivery, water supply and sanitation, and disease control. Services include:

a. Occasional mailings of selected publications, articles, and monographs to keep Mission health officers informed on trends and developments.

b. Mailings of bibliographies to inform field staff of materials that are available.

c. Responses to specific inquiries that can be tailored to the requestor's needs and answered with shelf material, where appropriate, or with a synthesis of information from current literature.

11. Housing And Urban Development

The Office of Housing and Urban Development of the Bureau for Private Enterprise (PRE/HUD) provides information and assistance directly related to its Agency responsibilities in shelter, Housing Guaranty, and urban and community development areas.

a. Information is available on a wide variety of topics in shelter and urban development areas, including:

(1) Development of LDC shelter and housing policies and strategies.

(2) Planning, design, finance, construction and management of low-cost shelter projects.

(3) Development design of LDC urban and community development projects.

(4) Various aspects of shelter and urban development problems such as land tenure; physical facilities, including roads, electricity, water and sewerage systems; community services, including schools and health clinics.

Such information and assistance can be secured from (i) professional staff, (ii) the PRE/HUD technical resources library which includes internally nerated material together with publications and studies from both public and private sector organizations and individuals, and (iii) firms and individuals that PRE/HUD utilizes from time to time in connection with project, research, or training aspects of its program.

b. Results of PRE/HUD's program of research and development in urban affairs are also available. Such research is undertaken to advance the state of the art in urban and community development by testing analytical tools, new programmatic approaches, and other techniques that will enhance host country capability to deal with critical problems in these areas.

c. A series of PRE/HUD publications is distributed selectively to Washington and field staff, and to others upon request. The publications include:

(1) The PRE/HUD Annual Report, covering the status of program operations and special developments of general interest.

(2) An Occasional Paper series covering a wide variety of shelter and urban development study topics.

(3) Proceedings of Regional Housing Conferences and of special workshops such as the Annual International Shelter Workshop for Senior Professionals.

(4) Individual Shelter Sector Assessment (SSA) papers and project study team reports prepared regularly in the course of Housing Guaranty project planning.

d. Information and supporting services are also provided with respect to individual advisors, consultants, and institutions who provide advisory services on shelter and urban development processes.

e. The Office of Multisectoral Development of the Bureau for Science and Technology (S&T/MD) has responsibility for providing Agency leadership in area and regional development, including urban issues associated with problems and processes of regional, rural and agricultural development. This includes area and regional development analysis and planning, decentralization, rural-urban dynamics and linkages, spatial organization, and institutional

development in support of the above. For information sources, see Regional and Area Development, section 16, page 3D16, page 3-17.

12. Nutrition

The Office of Nutrition (S&T/N) offers the following information services:

a. Distributes selected publications, reports, and articles on nutrition, maternal/infant feeding, nutrition education, food technology, Vitamin A and iron deficiencies, and nutrition planning to Missions, voluntary agencies, cooperating country officials, and organizations engaged in combating malnutrition.

b. Provides, on request, information on specific questions about nutrition, maternal/infant feeding programs, nutritional value of foods, fortification of foods and food processing, preservation, packaging and distribution, drawing on the resources of a technical consortium of professional nutrition and food technology societies.

c. Responds to requests from AID Bureaus, Offices and Missions, other U.S. agencies, other governments, international and private organization personnel for reference materials on nutritional surveys, food composition data, conference reports, and technical literature.

13. Participant Training

The Office of International Training (S&T/IT):

a. Provides, on request, information on the overall participant training program.

b. Provides, on request, information on both direct-hire and contract assistance to Bureaus and AID Missions in the design, planning and evaluation of participant training programs and projects.

c. Provides, on request, information on U.S. institutions and training facilities for academic and technical training, both public and private, for Mission use in planning training programs.

d. Develops orientation materials for participants on the social and cultural aspects of life in the United States and on the nature of the American academic environment.

e. Coordinates the Labor Organizations Development Project to provide selected trade union leaders from developing countries with special training which contributes to the development of effective labor policies and programs and promotes responsible trade union participation in socio-economic development.

f. Provides assistance to the Training Division (PM/TD) in the development of appropriate AID/W training for foreign national employees.

14. Population

The Office of Population (S&T/POP) offers the following information services:

a. Compiles and distributes program reports, demographic analyses, technical evaluative reports, research studies, and other program and technical information on AID population/family planning assistance to Missions and cooperating institutions.

b. Makes technical reports, journal articles, and reference textbooks available to Population Officers in overseas posts to help them keep informed on current population research, and provides selected training materials to AID specialists and their co-workers in various countries.

c. On request, provides technical advisory services to Bureaus and Missions on all facets of population programs.

15. Private Enterprise

a. The Bureau for Private Enterprise (PRE) serves as a laboratory for developing project and program ideas that will generate LDC growth and development through stimulation and expansion of the private sector. The Bureau:

(1) Provides consultants to help governments develop entrepreneurial skills, improve business management and vocational manpower training, and create or improve mechanisms for developing capital markets -- through the use of training programs, seminars, and study and analysis of management and technical problems.

(2) Sends reconnaissance missions of experts to LDC's to study and recommend ways to improve the investment climate for small business, agribusiness and export promotion -- including the improvement of laws, regulations and policies that affect the investment climate.

(3) Identifies, develops and supports LDC investment opportunities through entrepreneurial exchange programs, conferences and workshops, and participation in the costs of feasibility studies.

(4) Makes direct loans and participates with U.S. banks in loans to LDC privately owned businesses, and participates in the capitalization of venture capital firms and other financial intermediary institutions that provide credit to small and medium-sized enterprises.

(5) Develops ties with U.S. business associations to obtain their participation in bringing LDC executives and government officials for plant visits and meetings with American business executives and in developing other ways by which U.S. companies and their overseas branches can elevate the role of private enterprise.

(6) Will, on request, provide information to Bureaus and Missions on all aspects of private enterprise programs.

b. Export Information

The Office of Small and Disadvantaged Business (PRE/SDB) manages AID's project with the World Trade Institute in New York, which provides information on exports from certain developing countries.

c. The Employment and Small Enterprise Division of the Office of Multisectoral Development, Bureau for Science and Technology (S&T/MD/ESE)

Provides three main kinds of services and documentation on employment and small enterprise to Bureaus, Missions, and LDC's:

(1) Policy Analysis: ESE will provide assistance in analyzing policy issues on employment generation. The analyses will examine the effect that tax, import, land, and investment policies have on capital-saving technologies and effective labor utilization.

(2) Small Enterprise Development: ESE will assist in the promotion of small, medium and agribusiness enterprises through (a) identification and transfer of appropriate indigenous enterprise assistance technologies; (b) project identification and design assistance, including that for women's small enterprise and income generation activities; (c) technical assistance to the LDC commercial seed industry from U.S. private seed firms; (d) marketing and technology transfer services; and (e) the identification and strengthening of entrepreneurship in small enterprises.

(3) Human Resources: this activity also aims to strengthen entrepreneurship through (a) assisting in the design and implementation of occupationally related training, especially in finance, administration, planning and technology, and (b) developing the human resources institutional infrastructure and utilization techniques that contribute to increased productivity and employment in the formal and informal sectors.

16. Regional and Area Development

Regional and area development and local resource management are supported centrally in the Agency by the Regional and Rural Development Division, Office of Multisectoral Development, Bureau for Science and Technology (S&T/MD/RRD). Several of its projects offer technical assistance and information resources:

a. Research and field support in regional and area development are carried out through a cooperative agreement with various institutions. The agreement concentrates on:

(1) Assessment of resource issues and local resource management problems and options.

(2) Analysis of the dynamics, problems and possibilities of new settlement schemes, including spatial, economic and social integration of new settlements into their respective regions.

(3) Examination of rural-urban linkages to strengthen their contribution to rural and regional development. Methodologies have been tested comparatively in several contrasting settings of Asia, Africa and Latin America. Case studies and field guidelines are available.

(4) Intermediate-sized cities and their economic impact on rural and regional development.

b. A related S&T/MD/RRD resource is its Managing Energy and Resource Efficient Cities (MEREC) activity which is coordinated by a PASA with the Tennessee Valley Authority (TVA). This project, designed to develop energy and resource conserving strategies in small and intermediate-sized cities and their surrounding regions, offers field demonstrations, case studies and technical information on energy and resource information on a sector-by-sector basis.

c. Information and technical services are available on local access to land, water and natural resources through a Cooperative Agreement with the Land Tenure Center, University of Wisconsin.

d. Other information is available from S&T/MD/RRD on rural-urban migration, participation in development and land use planning and development.

17. Voluntary Agencies

a. The Office of Private and Voluntary Cooperation (FVA/PVC) monitors and manages selected grants from AID to Private and Voluntary Organizations (PVO's), serves as a broker between them and AID, and provides information about individual voluntary organizations to interested parties. In the latter regard, the Office has a contract with the Technical Assistance Information Clearing House (TAICH), operated by the American Council of Voluntary Agencies for Foreign Service, in New York City. TAICH disseminates information on the programs of private and voluntary organizations working in overseas relief, rehabilitation, and development.

b. Specific items of information available from FVA/PVC are:

(1) A Directory of Voluntary Agencies published by TAICH, as well as reports on selected topics on the private and voluntary organizations working in various developing countries.

(2) A newsletter, prepared by TAICH and distributed within AID, which reports on the relief, rehabilitation, and development activities of private and voluntary organizations.

(3) The annual FVA/PVC Report on Voluntary Foreign Aid Programs.

(4) A Fact Sheet on types of AID grants available to Private and Voluntary Organizations.

(5) Records and information pertaining to organizations registered with AID are available to AID personnel and the public for reference.

18. Women In Development

The Office of Women in Development (PPC/WID) was established in 1974 to promote and support Agency policy and activities for integrating women into the national economies of developing nations.

The Office maintains a Resource Center in the Main State Department Building which houses a comprehensive and unique collection of materials on Third World women. The Office is also involved in commissioning, printing, and disseminating special research studies, data findings, and project information on Women in Development issues.

Specific services offered by the WID Resource Center to Agency personnel, contractors, and others include:

a. Over 6,000 reference materials, project papers and evaluations, research documents, background papers and other published and unpublished documents on women in development. Materials are shelved by specific country (all LDCs represented) or by subject. Categories covered include women in agriculture, appropriate technology, credit, education, employment and women's organizations.

b. Between 50-100 PPC/WID funded publications on different topics, including studies on women in specific countries, statistical documentation on women in every AID-funded LDC, and policy and project information on women's roles in agriculture, employment, training, and education needs of women and others. These items are widely distributed and are available through mail, phone or visitor request.

c. Specialized rosters listing Women in Development experts available for short-term or long-term consulting. Rosters may be viewed in the WID Office. Some distribution of them will also be undertaken.

d. The WID Office is required by the Congress to prepare, every two years, a comprehensive report on the Agency's women in development activities. This "Report to Congress" is distributed throughout the Agency and is available to those interested.

e. Other informational services are provided on request. These can include individual briefings, preparing special packets of materials, mailings of reports prepared by other offices and agencies on women in development, project information, and recommendations for other sources of information.

3E. Management Information and Services

1. Contractor Information

The Office of Small and Disadvantaged Business (PRE/SDB):

a. Counsels U.S. firms of all sizes on contracting opportunities under AID financing, and how to go about competing for contracts. Gives special attention to small and disadvantaged firms.

b. Introductory Kit

Compiles and supplies to the U.S. exporting community, on request, the "introductory kit" to AID-financed commodity procurement.

c. Contractor's Index

Supplies information from the Index, on request, to AID/W and Missions. The Index provides a listing, by specialty, on keysort cards, of approximately 4,000 firms which have expressed interest in performing professional services on AID-financed projects abroad. The firms are listed under such categories as health services, financial services, architect-engineering firms, management consulting firms, and urban and regional planning consulting firms. Information is based on questionnaires filled out by the firms, and does not include AID evaluation or record of experience with the firm.

d. Dun & Bradstreet Reports

Obtains and supplies financial and other reports on potential AID supplier/contractors to AID/W and mission personnel on request.

e. Importer Lists and U.S. Small Supplier Lists

Supplies AID/W and overseas personnel and the U.S. exporting community with listings of importing firms in cooperating countries, including selected data on the firms. Listings are provided on request. The purpose is to help U.S. suppliers -- particularly small independent

enterprises -- to participate equitably in furnishing commodities for purchase under AID financing. Also makes available on request a comprehensive listing of small U.S. producers and their products for export.

2. Lists of AID Contracts

The Office of Contract Management (M/SER/CM/SD) produces the following reports:

a. Current Technical Services Contracts and Grants (Report No. W-443). This report provides, on a fiscal year basis, the names of recipients, contract or grant number, funding and purpose of the contract or grant.

b. AID-Financed University Contracts (Report No. W-442), which provides, on a fiscal year basis, names of recipients, contract or grant number, funding and purpose of contract or grant.

Copies of both of the above reports are available to AID personnel, on request, from M/SER/CM/SD.

c. The Directory of AID Indefinite Quantity Contracts (IQC's) contains a list of the firms and organizations that have IQC contracts with AID. These are contracts that provide for short-term technical services whose nature enables preliminary agreement on general work descriptions and a resulting IQC for specific services to be performed through "work orders." They simplify contracting procedures, save time and reduce costs. The Directory, intended primarily for AID personnel, lists the contracts by field of activity and describes briefly the contractors and the services performed. Revised periodically, the Directory is available from the Development Information and Utilization Service (PPC/E/DIU).

3. Supply and Procurement

The Office of Commodity Management, Commodity and Procurement Support Division (SER/COM/CPS):

a. Receives current supply and procurement publications from the Department of Defense, General Services Administration, Commerce Department, Government Printing Office, Treasury Department and commercial enterprises for review to determine applicability to AID activities. Publications, and information on procurement matters in general, are provided to AID personnel on request.

b. Receives commodity management material, Federal and commercial catalogues, General Services Administration, Commerce or Treasury

Department regulations, and other publications affecting AID operations or requiring compliance by Missions. Such material is available to AID personnel.

4. Marking

The Office of Commodity Management, Policy and Procedures Staff (SER/COM/PP) provides information on the AID Marking Program, including the establishing of policies and procedures, granting of waivers when justified, and initiating of preventive and corrective action on reported violations. This information is available to AID/W and overseas personnel on request.

5. Shipping

The Office of Commodity Management, Transportation Support Division (SER/COM/TS):

a. Analyzes and maintains the records of borrower/grantee compliance with "50/50 shipping" requirements* in the ocean shipping of AID-financed commodities, and receives computer runs from M/SER/IRM and borrowers reports from Missions. On request, advises the status of borrower/grantee compliance with 50/50 shipping requirements.

b. Provides technical support guidance and interpretation of policy on the transportation of AID-interest commodities.

6. Financial Information

a. Loan and Investment Guaranty Data

The Office of Financial Management, Loan Management Division (M/FM/LMD), has the following publications available on a continuing basis:

(1) Status Of Loan Agreements (Reports Control Symbol W-224)

Summary status of all loans by type of loan and modes of repayment, by cooperating country and geographical area. The report is prepared semiannually and distributed to AID Bureaus, Offices, Missions, and other Government agencies. Copies of current issues are available on request until the supply is depleted.

*Cargo Preference Act of 1954, as amended

3E6a

(2) Status of Loan Implementation (Report Control Symbol W-224a)

The report provides a detailed description, implementation status and financial status of loans. The report is issued monthly and includes a variety of specific information such as purpose, terms, category of assistance, project number, repayment currency, terminal dates, dates that critical actions were accomplished, disbursing authorizations issued, percent disbursed, etc.

(3) Loan Activity Report (Report Control Symbol W-244)

Monthly summary report of current fiscal year loan authorization activity. Schedules I and II show loan authorizations. Schedules III and IV show deauthorizations and deobligations.

(4) Delinquent Loan Report (Report Control Symbol W-242)

Monthly report showing overdue loan installments by loan agreement and country. The report shows balance outstanding, date of delinquency and the amount of delinquent principal and interest.

(5) Financial Summary - Housing and Other Credit Guaranty Programs - (Reports Control Symbol W-239)

This summary, issued quarterly, presents in detail the financial status and program operations of the housing guaranty program and the agricultural and productive credit and self-help community development programs, the status of contract issuing authority, financial and statistical data on projects authorized, AID's contingent liability, and fees collected. The report is distributed to AID Bureaus, Offices, and Missions, AID contractors, GAO, and other agencies. Copies of current issues are available on request until the supply is depleted. AID organizations may ask to be added to the regular distribution list.

b. Other Financial Data

The Office of Financial Management, Central Accounting Division (M/FM/CAD), prepares and distributes the following recurring reports. Copies of current issues are available on request until the supply is depleted.

(1) Status of Foreign Currency Funds (Reports Control Symbol W-213)

This is a quarterly summary, by cooperating country and purpose, of all foreign currencies available for U.S. and cooperating country uses. It is distributed to Bureaus, Offices, Missions and other Government and private agencies.

(2) Financial Report, Excess Property Revolving Fund (Reports Control Symbol CONG-R-0101)

This report, issued monthly, sets forth in detail the activities and status of the excess property program. Copies are distributed to offices in AID and other Government agencies. AID offices not receiving these reports may ask to be added to the regular distribution list.

(3) Financial Summary, Foreign Economic Assistance (Report Control Symbol W-210)

This summary report reflects financial activity funded by appropriations authorized by the Foreign Assistance Act for economic assistance and includes the financial activities of U.S. Government agencies participating in the Foreign Assistance Program to whom funds have been allocated from the Foreign Assistance appropriations. The report is issued at the end of each quarter.

(4) Appropriation Allotment Report by Country (Report Control Symbol W-211)

The report reflects allotment, obligation and disbursement activity for the current fiscal year by country within geographic regions. The report is issued quarterly.

(5) Appropriation Allotment Report, by Appropriation (Report Control Symbol W-211a)

This report reflects the total of funds allocated to AID. Activity is reported by allotment within appropriation. Funds not distributed to an allottee are identified as "Unallotted Funds." It is issued quarterly.

(6) Country Financial Report (Report Control Symbol W-209)

Summary of financial activity by country geographic region and type of assistance. The report provides a summary of current year loan authorizations and obligation, percent of allotment authorized or obligated, disbursements, and total unliquidated obligations. The report is issued quarterly. Allotments for Inter-Regional and Special Programs are shown in separate sections of the report.

(7) Flash Report-Financial Status of Current FY Program (Report Control Symbol W-208)

The report reflects the status of current year obligations by country and program as compared to the Operational Year Budget (OYB). The report shows OYB, allowed amounts, obligations and available balances of Foreign Assistance program funds administered by AID. The report is issued monthly.

3E6b

(8) Flash Report - Status of Operating Expenses (Report Control Symbol W-208A)

Status of current fiscal year operating expenses. The report shows the amount of funds allowed, obligated and available balances by country, Geographic Bureau, AID/W functions and overseas and AID/Washington totals. The report is issued monthly.

c. Nonproject/Program Assistance Data

The Office of Financial Management, Program Accounting Division (M/FM/PAD), prepares and distributes the following recurring reports:

(1) Nonproject Assistance Activity Report

Summary status of all active Nonproject Assistance Agreements. Part one, "Status of Current Year Funds," reflects obligations incurred against Current Year Allotments. Part two shows summary information on active Nonproject Agreements funded under both Current Year and Prior Year Allotments. The report is issued monthly.

(2) Transaction Detail of Loan and Grant Activity (Report Control Symbol W-214)

Details all transactions during the month and summarizes financial status each month for all active Nonproject Assistance Activities. The report lists disbursement and implementation details for each disbursing authorization together with the summary status of each disbursing authorization, grant or loan agreement, country and geographic region. The report consists of three parts:

(a) Nonproject Assistance Loans and Grants.

(b) AID Funded Section 106 Reimbursements to PVO's for shipments of donated commodities.

(c) PL 480 transportation costs funded by USDA.

7. List of Available Agency and Mission Recurring Reports

For a list of other recurring reports prepared by AID/W and Missions, including reports required by legislation, Congressional committees and Presidential determinations, see Appendix B of this Handbook.

TRANSMITTAL MEMORANDUM CHECKSHEET

HANDBOOK 18 - INFORMATION SERVICES

PART IV: AID SOURCES OF INFORMATION

18-IV:1	_____	18-IV:26	_____
18-IV:2	_____	18-IV:27	_____
18-IV:3	_____	18-IV:28	_____
18-IV:4	_____	18-IV:29	_____
18-IV:5	_____	18-IV:30	_____
18-IV:6	_____	18-IV:31	_____
18-IV:7	_____	18-IV:32	_____
18-IV:8	_____	18-IV:33	_____
18-IV:9	_____	18-IV:34	_____
18-IV:10	_____	18-IV:35	_____
18-IV:11	_____	18-IV:36	_____
18-IV:12	_____	18-IV:37	_____
18-IV:13	_____	18-IV:38	_____
18-IV:14	_____	18-IV:39	_____
18-IV:15	_____	18-IV:40	_____
18-IV:16	_____	18-IV:41	_____
18-IV:17	_____	18-IV:42	_____
18-IV:18	_____	18-IV:43	_____
18-IV:19	_____	18-IV:44	_____
18-IV:20	_____	18-IV:45	_____
18-IV:21	_____	18-IV:46	_____
18-IV:22	_____	18-IV:47	_____
18-IV:23	_____	18-IV:48	_____
18-IV:24	_____	18-IV:49	_____
18-IV:25	_____	18-IV:50	_____

Handbook 18
Information Services

Part V

Information Technology

PART V - INFORMATION TECHNOLOGY SERVICES

AGENCY for INTERNATIONAL DEVELOPMENT
DEPARTMENT of STATE
Washington, D.C. 20523

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE September 2, 1992	TRANS. MEMO NO. 18-V:33

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

Part V - AID Code Book - Table 5 - Object and Subobject Classification Code

Two new codes have been added for security equipment.

FILING INSTRUCTIONS:

1. REMOVE PAGES:

   DIII-A5-1 and DIII-A5-2 (TM 18-V:29)
   DIII-A5-13 and DIII-A5-14 (TM 18-V:29)

   REPLACEMENT PAGES:

   DIII-A5-1 and DIII-A5-2
   DIII-A5-13 and DIII-A5-14

2. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-V:33.

3. KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back.

4. File this TM 18-V:33 in the front of the handbook binder; discard TM sheet 18-V:32.

* * * * * * *

Address questions about this Handbook to FA/IRM/IPA (703) 875-1766.

For additional copies of this Transmittal contact FA/AS/ISS (703) 875-1641.

CHECKLIST FOR HANDBOOK 18, PART V
INFORMATION TECHNOLOGY

AUTHOR OFFICE: FA/AS/ISS/RM

DATE	MATERIAL TRANSMITTED	TM NO.
11-3-88	Pages A17-5 through A17-25 of Table 17	18-V:24
5-9-89	Pages A5-1 and A5-2 of Table 5	18-V:26
12-4-89	Pages A1a-1 thru A1a-6 of Table 1a; pages A2-1 thru A2-7 of Table 2; pages thru A4-1 thru A4-4 of Table 4; pages A4a-1 and A4a-2 of Table 4a; page A5-1 of Table 5; pages A6-1 and A6-2 of Table 6; pages A13-1 thru A13-3 of Table 13; page A16-1 of Table 16	18-V:28
10-31-90	Appendix D of Part V, pages DI-1 thru DIII-A5-1, DIII-A5-3 thru DIII-A10-2, A11(D)-1 thru DIII-A17-12, and DIII-A17-17 thru DII-A17-21	18-V:29
8-20-91	App. D of Part V, pages DIII-A17-13 thru DIII-A17-16	18-V:30
9-6-91	Appendix B of Part V	18-V:31
12-9-91	Table of Contents; Chapter 5 in its entirety	18-V:32
9-2-92	App. D, Part V, Pages DIII-A5-2 and DIII-A5-14	18-V:33

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE December 9, 1991	TRANS. MEMO NO. 18-V:32 R*

MATERIAL TRANSMITTED:

Handbook 18 - Information Services
Part V - Information Technology Services.

Chapter 5 - Forms Management Services has been updated to incorporate a metric conversion policy to be used in the forms program, and to reflect changes in office symbols under recent reorganization.

The Table of Contents has been revised to reflect the changes.

SUPERSEDES:

Pages TC-1 thru TC-5 of the Table of Contents, and Chapter 5.

FILING INSTRUCTIONS:

1. Remove superseded material as indicated under SUPERSEDES.
2. File the attached in their appropriate places.
3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-V:32.

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 18-V:32 in the front of the handbook binder; discard TM sheet 18-V:31.

* * * * * * *

Address questions about this Handbook to FA/AS/ISS/RM (703) 875-1573.

For additional copies of this Transmittal contact FA/AS/ISS.

* This is a REORDER of HB 18, Pt. V upthrough and including TM 18-V:32.

CHECKLIST FOR HANDBOOK 18, PART V
INFORMATION TECHNOLOGY

AUTHOR OFFICE: FA/AS/ISS/RM

DATE	MATERIAL TRANSMITTED	TM NO.
11-3-88	Pages A17-5 through A17-25 of Table 17	18-V:24
5-9-89	Pages A5-1 and A5-2 of Table 5	18-V:26
12-4-89	Pages A1a-1 thru A1a-6 of Table 1a; pages A2-1 thru A2-7 of Table 2; pages thru A4-1 thru A4-4 of Table 4; pages A4a-1 and A4a-2 of Table 4a; page A5-i of Table 5; pages A6-1 and A6-2 of Table 6; pages A13-1 thru A13-3 of Table 13; page A16-1 of Table 16	18-V:28
10-31-90	Appendix D of Part V, pages DI-1 thru DIII-A10-2, A11(D)-1 thru DIII-A17-12, and DIII-A17-17 thru DII-A17-21	18-V:29
8-20-91	App. D of Part V, pages DIII-A17-13 thru DIII-A17-16	18-V:30
9-6-91	Appendix B of Part V	18-V:31
12-9-91	Table of Contents; Chapter 5 in its entirety	18-V:32

TABLE OF CONTENTS

PART V

INFORMATION TECHNOLOGY

Page

Chapter 1 - INFORMATION RESOURCES MANAGEMENT

1A. Introduction 1-1
1. AID's Information Management Approach 1-1
2. AID and U.S. Oversight Agencies' Relationships 1-2

1B. AID's Information Policies and Programs 1-3
1. Scope of AID's Information Technology Program 1-4
2. Agency Information Technology Policies 1-4
3. AID/W Policies 1-8
4. Mission Policies 1-8
5. Policies Affecting Program-Funded Information Technology 1-9

1C. AID's Information Resources Management Services 1-10
1. AID/W Client Services 1-11
2. Overseas Client Services 1-12
3. Agency Technical Support Capabilities 1-13
4. Central Computer Services 1-15
5. Information Training and On-Site Assistance 1-17

1D. AID Information Management Oversight Activities 1-17
1. IRM Review Program 1-18
2. Review of AID/W and Overseas Automation Programs ... 1-19
3. IRM Reviews of Agency Program-Funded Requirements .. 1-20

Chapter 2 - DATA ELEMENTS MANAGEMENT

2A. Purpose 2-1

2B. Authorities 2-1
1. P.L. 89-3061 (Brooks Bill) October 1965 2-1
2. Code of Federal Regulations 2-1
3. Federal Information Processing Standards (FIPS) 2-1
4. FIPS PUB 28, Standardization of Data Elements and Representations 2-1

CONTENTS

Page

Chapter 2 - DATA ELEMENTS MANAGEMENT (Cont.)

2C. Definitions 2-2
1. Data Element 2-2
2. Data Element Management System 2-2
3. Data Element Source 2-2
4. Data Element Definition 2-2
5. Data Element Abbreviation 2-2
6. Information Transmittal 2-2

2D. Objectives 2-2

2E. Responsibilities 2-3

2F. Program Development Activities 2-3

Chapter 3 - CODING SYSTEMS USED IN AID

3A. Purpose 3-1

3B. Policy 3-1

3C. Definitions 3-1
1. Codes 3-1
2. Internal Agency Codes 3-1
3. Internal Office Codes 3-1
4. External Agency Codes - Inter-Agency 3-1

3D. Responsibilities 3-2

3E. Procedures for Establishing, Revising, and Cancelling Coding Systems 3-2
1. AID/W Bureaus and Offices 3-2
2. SER/DM/IM 3-2

3F. Listing of Coding Systems Used in AID (Appendix D) 3-5

CONTENTS

Page

Chapter 4 - REPORTS MANAGEMENT

4A. Introduction 4-1

4B. External Regulations Applicable to Establishing a Reports Management Program and the Management of Internal Reports 4-1
1. Federal Records Act of 1950 - Paperwork Management 4-1
2. Federal Property Management Regulations - Sec. 101-11.207 Reports - Agency Program Responsibilities 4-1

4C. Objectives of the Reports Management Program 4-1

4D. Definitions 4-2
1. Report 4-2
2. Recurring Report 4-2
3. One-Time Report 4-2
4. Feeder Report 4-2
5. Controllable Report 4-2
6. Exempt Report 4-2
7. Internally Required Report 4-2
8. Intra-office Report 4-2
9. Public Reporting 4-3
10. Interagency Reporting 4-3
11. Congressional Reporting 4-3
12. Report Control Symbol 4-3
13. Requiring Office 4-3
14. Respondent 4-3

4E. Responsibilities 4-3
1. Office of the Associate Assistant to the Administrator for Management, Directorate for Program and Management Services (M/AAA/SER) (Policy Guidance) 4-3
2. Office of Information Resources Management, Planning and Evaluation Division (SER/IRM/PE) (Program Implementation) 4-3
3. AID/W Bureaus, Offices, and Missions Management of Internal Reports 4-4
4. Offices Requiring the Submission of a Report 4-4
5. Respondent 4-5

CONTENTS

Page

Chapter 4 - REPORTS MANAGEMENT (Cont.)

4F. Reports Analysis 4-6
1. General Criteria 4-6
2. Determining Reliability and Availability of Source Data 4-7
3. Determining Internal Consistency 4-7
4. Evaluating Cost 4-7
5. Review of Requiring Directive and Method of Transmitting Data 4-7
6. Reviewing Plans for Processing and Utilization of Data 4-8

4G. Reports Management 4-8
1. Assignment of Report Control Symbols 4-8
2. Evidence of Approval 4-9
3. Referral of Unauthorized Reporting Requests 4-9
4. Requests from Higher or Outside Authority 4-9
5. Congressional Reports 4-10
6. Exempt Reports 4-10
7. Review of One-Time Reports 4-10
8. Directives and Other Instructions which Initiate or Revise Recurring Reports 4-10

4H. Procedures for Submission of Requests for Clearance of Internal AID Reporting Requirements 4-11
1. Requests for Clearance of New or Revised Recurring Reporting Requirements 4-11
2. Requests for Approval of One-Time Internal AID Reports 4-11

4I. Procedures for Submission of Requests for Clearance of Public Reports 4-12
1. Applicable External Regulations 4-12
2. Request for Clearance of New Plans or Report Forms Within the USA 4-13
3. Request for Information Collections Overseas 4-14
4. Requests for Clearance of Revised Information Collection 4-15
5. Requests for Extension of OMB Approval 4-15

CONTENTS

Page

Chapter 4 - REPORTS MANAGEMENT (Cont.)

4J. Procedures for Submission of Requests for Clearance of Interagency Reporting Requirements 4-16
1. Federal Property Management Regulations, 41 CFR Subpart 101-11.11 - Interagency Reports Management Program 4-16
2. Requests for Clearance of New Reporting Requirement 4-16
3. Request for Clearance of Revised Reporting Requirements 4-17
4. Request for Clearance of Plans to Obtain Information to Prepare Statistical Compilations of General Public Interest 4-17
5. Request for Extension of GSA Approval 4-17
6. Appeal Procedure 4-17

4K. Reports Inventory 4-17

4L. Availability of Referenced Forms 4-18

Attachment 4A - Instructions for Completing AID 3-198, Reports Approval Application and Sample Application

Attachment 4B - Form SF 83 (Request for OMB Review) and Form SF 83A (Instructions for SF 83)

Attachment 4C - Instructions for Completing SF 360, "Request for Clearance of an Interagency Reporting Requirement", and the form SF 360

Attachment 4D - GSA Guide to Estimating Reporting Costs

Chapter 5 - FORMS MANAGEMENT SERVICES

5A. Introduction 5-1

5B. Applicable External Regulations 5-1
1. Federal Information Resources Management Regulations (FIRMR), Subpart 201-45.104 Forms - Agency Program Responsibilities 5-1
2. Paperwork Reduction Act of 1980 5-1
3. Federal Information Resources Management Regulations (FIRMR), Subpart 201-45.6 - Interagency Reports Management 5-1
4. Metric Conversion Policy for Federal Agencies 15 CFR Part 19 (Subpart B) 5-2

5C. Program Objectives 5-2

CONTENTS

Page

Chapter 5 - FORMS MANAGEMENT SERVICES (Cont.)

5D. Definitions 5-2
1. General Definitions 5-2
2. Categories of Forms Used by AID 5-3
3. Requiring Office 5-4
4. Using Office 5-4
5. Printing 5-4

5E. Responsibilities 5-4
1. FA/AS/ISS/RM 5-4
2. AID/W Requesting Offices 5-5
3. Overseas Offices 5-6

5F. Requiring Office's Role in Determining the Actual Need for a Form 5-7

5G. Procedures for Obtaining Approval for New and Revised Forms 5-7
1. Procedures for Obtaining Approval of AID Forms Used Agency-Wide 5-7
2. Forms Subject to the 5 CFR 1320, Controlling Paperwork Burdens on the Public 5-11
3. Forms Subject to the Federal Information Resources Management Regulations (FIRMR), Subpart 201-45.6 - Interagency Reports 5-12
4. Forms Subject to the Privacy Act of 1974 5-12
5. Forms Subject to the Metric Conversion Act of 1975 as Amended in 1988 5-12

5H. Procedures for Cancelling an AID Form 5-13

5I. Stocking and Procurement of Forms 5-13
1. AID/W 5-13
2. Overseas Office 5-13

5J. Other U.S. Government Forms Used by AID 5-14

5K. Availability of Forms 5-14

Attachment 5A - AID 3-1 (4-90), Forms Approval Request

CHAPTER 1

INFORMATION RESOURCES MANAGEMENT

1A. Introduction

This Chapter of the Handbook describes the key information management activities, external regulations and directions, and USG relationships associated with the federal information resources management (IRM) program. Also included are specific A.I.D.-related IRM policy guidance, descriptions of available internal IRM services, and related oversight activities.

1. A.I.D.'s Information Management Approach

The foreign assistance objectives of the United States, as implemented by the Agency for International Development (A.I.D.), are met through a combination of technology and resource sharing. These initiatives require that the Agency's staff have access to required information in both the developmental sphere and the operational arenas to effectively and efficiently accomplish U.S. assistance objectives. Toward the goal of meeting the Agency's information needs effectively, the Office of Information Resources Management (M/SER/IRM) provides centralized direction of A.I.D.'s information technology programs with decentralized operation of the resources in the hands of users.

Centralized policy guidance affects both operating expense-funded information resources (i.e., in-house A.I.D. operational requirements) as well as program-funded automation components of A.I.D.-financed assistance (i.e., U.S. assistance to less developed countries, "LDCs"). Program-funded acquisitions of information technology are subject to specifically delegated dollar authorities for A.I.D.'s Missions and posts overseas, as discussed in B5. Key aspects of M/SER/IRM's centralized support related to information technology operating-expense resources for both A.I.D./W and the Missions are discussed in C1 and B4b respectively.

Centralized policy guidance in this handbook responds to issues such as:

a. Consistent and realistic IRM planning, budgeting, management, and expenditures;

b. Integration of Agency information systems and data requirements;

c. Compatibility of diverse computer hardware and software;

d. Capacity to respond to Congressional committees' interest in and oversight of A.I.D.'s information technology programs and spending;

e. Ability to respond to GSA, OMB, and the Congressional requirements of agency-wide planning and budgeting for hardware, software, systems, and services;

f. Coordination of A.I.D.'s information technology programs with policies of State, USIA, and other agencies.

2. A.I.D. and U.S. Oversight Agencies' Relationships

A.I.D.'s management of its IRM resources is affected by policy and management guidance from several external USG organizations. In particular, A.I.D. responds to the IRM policy guidance provided by OMB, GSA, and NBS. The following subsections briefly describe the roles of these external agencies and the pertinent legislation, policies, and regulations which constitute key IRM guidance for USG agencies.

a. Office of Management and Budget (OMB). OMB provides the overall policy guidance to U.S. agencies in the area of IRM requirements and has overall responsibility to report to Congress on the performance of the U.S. agencies in meeting the requirements of PL 96-511, the "IRM Act" of 1980, as implemented in OMB circulars such as A-130 and other related circulars. OMB reviews IRM needs annually through the budget process and requires that agencies develop strategic plans to direct their information resource needs effectively.

The IRM Act focuses on managing information as a resource in the same way that money, personnel, property, and other tangible resources have been managed in the past. The Act requires that U.S. agencies concern themselves with the critical areas of information resource management such as planning; budgeting; organizing; directing; training; promoting; controlling; and other managerial activities involving the collection, use, and dissemination of information.

The IRM Act also requires that each agency designate one individual as the Senior IRM Official with formal responsibility for management and direction of agency IRM policy. Within A.I.D., the Assistant to the Administrator for Management (AA/M) has been designated as the Senior Official with implementation of operational responsibilities assigned to M/SER/IRM.

b. U.S. General Services Administration (GSA). GSA has been delegated operational responsibility in providing IRM management guidance and regulations which are consistent with OMB policy guidance as well as implementation of statutory requirements related to IRM. GSA provides comprehensive IRM guidance to USG agencies through its Federal Information Resources Management Regulations (FIRMR). GSA advises OMB on the IRM performance of each agency; OMB, in turn, reports to the Congress on IRM accomplishments and related problems and issues as stipulated in the IRM Act (see section D1 on A.I.D.'s IRM Review Program).

The FIRMR, first issued in 1984, combines guidance on ADP and information management regulations and directives formerly maintained in separate guidance in such IRM areas as ADP procurement, telecommunications, property management, and records management. The FIRMR is issued and maintained by GSA in furtherance of its overall responsibilities for information resources management. Specific policy and detailed program guidance related to broad government-wide IRM requirements are to be found in the FIRMR and are not restated in A.I.D. Handbook 18. A.I.D. offices or Missions which require the FIRMR on a recurring basis should request FIRMR distribution from M/SER/IRM/PE.

c. The National Bureau of Standards (NBS). NBS is responsible for directing the USG's IRM standards program. Standards are provided in the form of the FIPS PUBS (the Federal Information Processing Standards Publications). This program is intended to ensure that US data resources are used and shared effectively.

1B. A.I.D.'s Information Policies and Programs

A.I.D.'s IRM policy guidance, program management (including budget formulation), support services, and stewardship of its IRM resources are the responsibility of A.I.D.'s Office of Information Resources Management (M/SER/IRM). The Agency's overall policy is to support the rapid but orderly introduction of appropriate information technologies, promote that introduction where it makes sense and is cost-effective, and provide centralized direction and decentralized operation. Information technology resources are intended to assist with the increased productivity and improve the quality of information management.

A.I.D.'s information technology programs respond to several key programmatic needs such as faster communication, ability to rapidly manipulate changing data, and the provision of detailed information required to support Agency managers' decision-making. These needs are

being met in A.I.D. through the provision of information technology such as office automation resources, professional computing tools, telecommunications, and an emphasis on linkage of information systems to support diverse requirements. The Agency through M/SER/IRM manages, plans, and budgets for its information technology resources to support A.I.D./W needs and oversees, evaluates, and supports the Missions' needs. These differing A.I.D. environments have resulted in similar information technology strategies for each, with basic IRM policies designed to respond to their particular needs. A.I.D./W and Mission information technology programs are viewed as closely related but separate components of the Agency's comprehensive IRM program.

In the following subsections, the scope of the Agency's information technology IRM programs, Agency-wide general IRM policies, A.I.D./W policies, Mission specific policies, and A.I.D.-financed projects with IRM components are discussed.

1. Scope of A.I.D.'s Information Technology Programs

The goal of the Agency's IRM program is to increase the efficiency and effectiveness of its various staffs worldwide by providing appropriate information technology tools and systems. The scope of the IRM program in A.I.D. spans automatic data processing (ADP), word processing (WP), systems development, systems maintenance, telecommunications, and related information technologies.

Agency hardware resources include large mainframe systems, large shared-logic WP systems, minicomputers for large user groups with both ADP and WP needs, and microcomputers which are used as multifunction workstations with the large WP and ADP systems or as stand-alone personal computers. Information technology resources, which include all hardware and software, are specifically approved for Agency use by M/SER/IRM based on overall cost-effectiveness and user requirements. These resources are incorporated within a formal system of Agency standards management outlined in B2b.

2. Agency Information Technology Policies

A.I.D.'s information technology program is guided by several key policy considerations to ensure effective planning and implementation. These basic policies relate to IRM resource goals, standardization, systems development, data availability, resource utilization and security, budgeting and reporting, and interagency IRM cooperation. These policies are as follows:

a. Agency IRM Resource Goals. M/SER/IRM is responsible for planning, evaluating, and developing goals and objectives related to information technology resources for the Agency. The overall goal is to provide cost-effective IRM resources to Agency staff and management in support of their responsibilities to implement US Foreign Assistance programs. In this area M/SER/IRM identifies overall requirements to support the Agency with information technology resources such as automation hardware and software, ADP, telecommunications-related information technologies, and applications systems.

The allocation of IRM resources is linked to specific and justifiable needs. For example, while the Agency may establish a target ratio of microcomputers to professional staff, the actual allocation of hardware and software is first based on a demonstrated overall need. After goals and targeted groups have been identified, the acquisition and distribution are made within the Agency's available budget resources for this purpose. Thus, full implementation of program requirements incorporating and integrating a variety of information resources may often extend through several fiscal years (FYs).

b. Hardware and Software Standardization. A.I.D. has adopted a policy of employing standardized hardware and software to the maximum extent practicable to ensure cost-effective and productive methods of meeting Agency information technology requirements. This policy was adopted to: (1) reduce costs when standard computer applications are used Agency-wide, (2) reduce and ease training requirements, (3) facilitate equipment maintenance, (4) assist A.I.D. staff in transferring between physical locations without extensive automation retraining, (5) enhance the ability to transfer data between A.I.D. sites, and (6) allow for shifting IRM resources in the Agency as organizational changes occur.

Agency hardware and software standards are based upon formal evaluation of these resources and are revised as newer resources are acquired and tested by A.I.D. M/SER/IRM operates a formal testing program to determine when changes should be made in standard hardware and software. As these standards change, M/SER/IRM will periodically advise A.I.D./W offices and the Missions on resources which are recommended for acquisition. A.I.D./W and Mission requests for nonstandard products will only be authorized when compelling need can be documented and such resources are demonstrably cost-effective. In cases where M/SER/IRM authorizes the acquisition of nonstandard, untested hardware and software, the user office is required to prepare, with M/SER/IRM assistance, an evaluation of that product.

c. Systems Development. Specific Agency policy related to automated information systems is to meet systems needs in a cost-effective way, whenever practicable, by: (1) using application systems already developed by A.I.D./W, the Missions, or other agencies and (2) encouraging the utilization and procurement of commercially produced software, i.e., "off-the-shelf" applications. The development of new information systems requiring customized software is undertaken when systems needs cannot be met by software described in (1) and (2) above. Such customized systems follow the life-cycle management requirements documented in the Agency's "Information Processing Standards" manual and its supplement entitled "Systems Development Standards" which are maintained by M/SER/IRM.

An information system's life cycle includes all stages of development, from concept to implementation and beyond, and is a structured process. No new system of records may be created which contains personal information on Agency staff, as protected by the Privacy Act restrictions and OMB Circular A-130, without prior clearance by XA/PI and subsequent notification in the Federal Register.

In selected cases, automated information systems are authorized by M/SER/IRM to be developed by other organizations within the Agency. They are developed in cooperation with M/SER/IRM if they result in an automated application that affects information or data being used, shared, or acted upon by more than one office in the Agency. Systems which are to be accepted for central maintenance by M/SER/IRM will be developed within the framework of the Agency's systems standards. Software which is developed for the Agency, whether by direct-hire or contractor staff, becomes the sole property of the Agency and will be made available for redistribution within the Agency, or the USG as a whole, unless such distribution is restricted due to contractual "Rights-in-Data" agreements for copyrighted data which permits only limited usage.

Systems development requirements in the Missions may differ in some cases from the standard policy described above and are discussed in the Mission Policy section B4a.

d. Data Availability. Any data in automated form is Agency data, available to all, unless a specific exception has been required, e.g., Privacy Act protection of personnel data in the personnel system or specific "Rights-in-Data" contractual restrictions related to copyrighted data. Offices which are the initiators or primary users of information systems, i.e., the systems "owners," are responsible for the accuracy and integrity of the data which normally includes data entry and retrieval and related staff support costs.

To the maximum extent possible, all new systems will be developed so that they can be tied or linked to the Agency's existing network of linked systems known as the "Portfolio" network. To provide a permanent forum for monitoring reporting needs in the area of Portfolio management, the A.I.D. Information Management Committee holds regularly scheduled meetings to review and recommend desirable actions to users and M/SER/IRM. The Agency's information technology strategy is aimed at allowing Agency staff to easily relate data, and new systems must be compatible with this approach.

e. Security and Resource Utilization. It is the policy of the Agency that information technology resources of the Agency are to be used for official purposes only. Personal use of such resources may result in disciplinary action.

As regards security of IRM resources, these considerations are of several different types. The first is physical security of equipment and the second is security considerations of data in the systems. A third related consideration is the need to use acquired resources within limits contractually agreed upon. The Agency policies are as follows:

(1) Physical Security. The information technology resources which are assigned to offices in A.I.D./W are the responsibility of the heads of bureaus and independent offices, and in the A.I.D. overseas posts they are the responsibility of the Mission Directors. These responsibilities include the requirement that such resources are protected both physically and technically and used properly (see also Chapter 7D3 of Handbook 20, "Office Services").

(2) Information Security. Mission directors and heads of user offices are responsible for insuring that no classified material is processed on non-TEMPEST automation equipment. TEMPEST computers are designed to reduce electronic emanations so that classified documents may be produced without compromising their contents. Classified material is information which is designated as TOP SECRET, SECRET, or CONFIDENTIAL. In A.I.D./W LIMITED OFFICIAL USE (LOU) material may be processed on any workstation if it is password-protected and storage
* media is physically secured at the end of the workday. In most A.I.D. missions, LOU information may be processed on any workstation; however, in high technical threat posts, LOU may be processed only on TEMPEST equipment. *

Users who have access to TEMPEST equipment should consult appropriate guidance in A.I.D. Handbook 6 which is issued by A.I.D.'s Office of Security.

* Revised

(3) Commerical Software Protection. The Agency acquires a variety of commercially produced computer application software to assist its staff in addressing specific problem-solving requirements. Such software, if acquired under a restricted licensing agreement, is proprietary and may not be copied.

f. Budgeting and Reporting. Each A.I.D. post budgets for its own information technology resources. M/SER/IRM budgets for and manages the central information technology budget for A.I.D./W. M/SER/IRM constructs the Agency's consolidated information technology budget in a standard format for submission to OMB and the Congress. This budget is derived from the A.I.D./W budget compiled by M/SER/IRM and submissions from each field post.

g. Interagency Cooperation. A.I.D.'s policy as it relates to interagency cooperation on information technology matters is to coordinate with other U.S. agencies in A.I.D./W and overseas as much as is practicable. This includes sharing of facilities with other agencies to facilitate the management, financial, and technical operations in the accomplishment of their respective functions. For example, it is A.I.D.'s policy to use the Department of State's facilities for telecommunications to overseas posts, whenever practical, for transmission of documents and data. Although the overall interagency coordination is handled by A.I.D./W, including formal interagency agreements, the A.I.D. posts are encouraged to collaborate with their counterparts in the field whenever sound management dictates.

3. A.I.D./W Policies

Within A.I.D./W no separate guidance is required beyond those specified in the Agency-wide policy contained in B2, "Agency Policies," and B5, "Policies Affecting Program-Funded Technology."

4. Mission Policies

Missions are to follow information technology policy requirements as described in B2 but as modified in this section as they pertain to systems development, OE acquisition of information technology, and ABS submission. Policies related to program-funded, A.I.D.-financed projects are addressed separately in B5.

a. Systems Development. Systems used in the Missions are normally of three types: (1) those such as MACS that are developed, issued, and supported by A.I.D./W; (2) those authorized to be developed at post which will be utilized, after development, by more than one

post; and (3) Mission-specific systems such as certain statistical analyses that are done on a one-time basis and applications which are unique to a particular country program. Systems within categories (1) and (2) are approved by M/SER/IRM in coordination with the system "owners" or the functionally responsible A.I.D./W office or bureau (e.g., MACS--M/FM) and are developed within the systems policy described in B2b. In the case of (3), Mission-specific systems, Missions are to submit the proposed systems development proposal to A.I.D./W for review to assure that a similar application has not been developed at another post. Missions are encouraged to consult the M/SER/IRM Clearinghouse to determine whether existing software is available prior to undertaking formal systems development.

b. Operating Expense Resources and ABS Submissions. A.I.D.'s annual budget submission process (ABS) is the principal overseas input for annual IRM planning information for operating-expense-funded resources. The information technology portion of the ABS is also constructed to comply with OMB submission requirements.

5. Policies Affecting Program-Funded Information Technology

Many program-funded development assistance initiatives have as a component information management assistance, e.g., computer hardware, software, telecommunications, and/or related technical services associated with information processing. Program-funded activities are those which involve proposed U.S. assistance to the LDCs from the Economic Support Funds, one of A.I.D.'s development assistance accounts, or as part of assistance provided within the Agency's Commodity Import Program (CIP). This is contrasted against operating-expense-account procurements, which are those commitments authorized to support U.S. staff in day-to-day operations either in A.I.D./W or the Missions.

In order to support Missions and A.I.D./W program elements in developing proposals which are consistent with Agency and USG information technology policies and assure that such projects meet their goals, M/SER/IRM assists in the review and approval of program-funded projects that have an IRM component.

Where the life-cycle cost of the information technology component exceeds $100,000, M/SER/IRM must clear before funding is approved. Missions may approve A.I.D.-financed assistance with IRM components if the assistance does not exceed $100,000 over a five-year time frame, which is to be considered the maximum life cycle of such assistance. Life-cycle costs include all estimated project costs associated with the procurement: hardware, redundant hardware, spare parts, site

preparation, installation, operations, software development, equipment maintenance, technical services, and training. Higher delegations of authority may be granted at posts where A.I.D. has a professional computer specialist assigned. On request, M/SER/IRM will provide technical advice and support to program-funded activities even though the information technology component need not receive A.I.D./W approval.

Project development officers are encouraged to consider many factors when designing the automation component of a project such as those that would increase the sustainability of the component. Thus, in addition to issues like the suitability of the hardware and the cost-effectiveness of the software solution, other critical components should include maintenance, training, staffing, and the discipline of managing the information resources by the host-country institution. As such, they should be costed and made an integral part of the overall strategy when implementing information technology transfer in any Agency project. M/SER/IRM support services associated with program-funded information technology is discussed in D3.

1C. A.I.D.'s Information Resources Management Services

Within A.I.D., the Office of Information Resources Management (M/SER/IRM) provides a variety of information technology support services both to A.I.D./W and to the A.I.D. posts overseas. This section of the handbook describes the overall A.I.D. client service concept and strategy, hardware and software services, systems development capabilities, as well as a number of information advisory services to support word processing, personal computing, mainframe computers, telecommunications, and related technology users within the Agency.

Since the establishment of an Agency IRM office, it has been the overall goal to provide users with simplified access to IRM services through a single point of contact as represented by M/SER/IRM client analysts. Within M/SER/IRM, the client analyst is supported by both direct-hire and contractor staff who provide assistance in such areas as technical and management consulting, systems development, and other related information technology areas. These resources are coordinated on behalf of the Agency information users by the client analyst. A.I.D.'s information technology users are encouraged to use the client analyst network to make entry into IRM service support resources less cumbersome and more efficient. Other IRM services that do not involve automation, such as organization management and management consulting services, are coordinated by M/SER/IRM client analysts (these services are described in A.I.D. Handbook 17 and the "A.I.D. IQC Services Directory" respectively).

The A.I.D. information user community is broken into a U.S.-based staff located in A.I.D./W and the overseas staff located in 70 posts. Since the A.I.D. user community is broken into two widely different physical and geographical environments, client service is provided through slightly different support mechanisms. These are discussed in the following sections.

1. A.I.D./W Client Services

Each A.I.D./W bureau and office is assigned an M/SER/IRM client analyst who works with the user to provide estimates of long-range and ad hoc support requirements for information resources. The client analyst acts both as an in-house evaluator of these needs and as the advocate within the budget planning process for justifying resources proposed for the bureau or office.

Information technology resources for internal Agency uses are centrally budgeted by M/SER/IRM for all A.I.D./W offices. Acquisition projections are based on information provided by A.I.D./W offices to their M/SER/IRM client analysts. The overall requested information technology resources may include computer hardware and software, systems support, time-sharing services, as well as technical and management advisory services for studies and assessments of information requirements which may or may not be automated.

M/SER/IRM client analysts counsel user offices on the availability of requested resources. Additionally, M/SER/IRM client analysts assist client offices by recommending alternate resources, when needed, to assure that appropriate and cost-effective hardware, software, systems, and services are acquired. Through the process of users' identifying most critical needs and justifying their acquisition, resources are provided within the overall Agency budget availabilities in the current or subsequent fiscal years (FYs).

Hardware and software assigned to Agency offices may be reassigned within the Agency by M/SER/IRM depending on the changing needs and requirements of individual offices. Assigned resources are tracked by M/SER/IRM and may not be reassigned by A.I.D. offices without the prior concurrence of M/SER/IRM.

M/SER/IRM's client analysts assist A.I.D./W bureaus and offices as they identify information systems which may require development to support their organizational mandates. Formal systems development is a collaborative undertaking between M/SER/IRM client analyst staff and the user office. If the new system includes financial data, the M/SER/IRM

client analyst and user office will advise the A.I.D. coordinator for OMB Circular A-127, M/FM/ASD. This may include PIO/T preparation involving IRM services from outside contractor resources, development of scopes-of-work for systems development by M/SER/IRM in-house resources, or a combination of both. Users who have a need to support relatively simple, one-user systems are encouraged to use software packages which are approved as an Agency standard. Client analysts will provide offices with information on software available and its usefulness to particular situations. If these packages are adequate, offices should undertake systems work themselves or seek M/SER/IRM advice and assistance through the client services mechanism.

2. Overseas Client Services

The support to overseas Agency posts is similar in most respects to that provided for A.I.D./W, and each post has a client analyst contact in A.I.D./W to provide needed advice and assistance. Specific M/SER/IRM system support is described in section 4b. Additional services are available to the field because of the physical separation of the posts from A.I.D./W.

First, while assistance is most often provided either by cable or via other telecommunications, TDY support can be provided by M/SER/IRM when information support services cannot be obtained locally. In some A.I.D. overseas environments with large, complex IRM support needs, M/SER/IRM has identified senior staff for on-site assignment to support a specific Mission's or region's IRM needs. Second, regional M/SER/IRM workshops are periodically conducted for both the field managers of IRM facilities and the program/project people who are supported by these facilities. Third, field staff are encouraged to plan training or technical assistance sessions in M/SER/IRM when traveling to A.I.D./W.

Additional support guidance such as the "Manager's Guide to the A.I.D. Overseas Automation Program" and the "Guidelines for Managing Automation Assistance in A.I.D. Development Projects" have been developed by M/SER/IRM to assist Mission staff in managing their IRM needs more effectively and acquaint them with key requirements and associated procedures. Aside from technical advice and assistance, M/SER/IRM acquires IRM resources for the posts and facilitates some types of A.I.D./W contractor support for the Missions. M/SER/IRM staff members are available to assist Missions with their IRM services planning to the extent needed when Missions are developing their ABS.

Upon request, M/SER/IRM will advise Mission staff on systems development even if the Mission has been delegated authority to assume this

responsibility on its own. Such assistance may avoid unnecessary duplication of prior programming efforts. Services may include TDY assistance by M/SER/IRM direct-hire or contractor staff. (Systems development policy is covered in sections B2c and B4a.) M/SER/IRM will assist the Missions in determining what system configuration is the most appropriate to meet their particular needs. The evaluation of appropriate need is affected by the size and nature of the program, maturity of the program, and the number and types of staff who need automation support.

3. Agency Technical Support Capabilities

A.I.D. has a large and growing community of information technology users who require a variety of IRM support services. In meeting these needs, M/SER/IRM offers several types of resources which are intended to respond to users who need short-term, discrete hardware and software advice ranging from micro to mainframe systems; information on Agency-designed software available for replication or adaptation; and an in-house publication intended to report on new technology, identify Agency standards on IRM resources, and provide information on the use of distributed resources. These services are as follows:

a. A.I.D. Technical Support Center. The M/SER/IRM Technical Support Center provides an array of technical advice and assistance on information technology resources which range from the smallest of the Agency's microcomputer systems to the large information systems which are resident on the Agency's mainframe computer. This Center supports Agency staff who use Agency standard hardware and software. The Center's staff answers technical queries on the capabilities of available resources such as microcomputers, allows for hands-on opportunities on a variety of A.I.D. standard hardware and software in a lab-type environment, provides information on state-of-the-art technology, acts as an adjunct to A.I.D. clearinghouse for certain PC software packages and templates, and provides other related IRM user assistance functions. Agency information users who require rapid IRM technical assistance can direct their inquiries to the Center via user-help telephone hot lines. The services provided by the Center do not include formal systems development, data entry, equipment repair, or formal training.

b. Software Clearinghouse. M/SER/IRM operates a clearinghouse for the exchange of glossaries and application systems that can be used on the Agency's standard microcomputers, word processors, and minicomputers. The policy of the Agency is to make information centrally available to the U.S.A.I.D.s and A.I.D./W offices that would

enable them to avoid the time and cost associated with locating or developing software. The clearinghouse publishes a catalog of available software which provides a brief description of the software, hardware/software requirements, and a contact point. The catalog is distributed to each A.I.D. office and U.S.A.I.D. and announced in the A.I.D. Info Exchange.

c. Information Exchange Program. M/SER/IRM provides a communication vehicle known as the Info Exchange for the periodic exchange of information between A.I.D. users of microcomputers, word processors, minicomputers, and the mainframe. It includes information on IRM activities, such as additions to the Agency's standard hardware/software, automation workshops, and project support. It also includes technical advice on the more efficient utilization of Agency information technology resources. It is the policy of M/SER/IRM to include timely and relevant articles from Agency information technology users. The Info Exchange is distributed to staff in both A.I.D./W and the U.S.A.I.D.s and is available upon request.

d. Hardware Repair Services. Most Agency hardware obtained under central contracts (whether large shared-logic systems, minicomputer, or microcomputer) is maintained under blanket contractual arrangements which in most cases are available on a worldwide basis. Repair requirements are handled directly by an office's or Mission's internal systems administrator and the responsible A.I.D. contractor. Missions are to use Agency-wide equipment maintenance when available; local maintenance agreements must be approved by M/SER/IRM.

When A.I.D./W offices have workstations and/or other peripheral IRM equipment that are within the Agency's equipment inventory but not under a central maintenance contract, they should advise their systems administrators of operational problems or malfunctions prior to calling M/SER/IRM. Within M/SER/IRM, the Automation Support Division (M/SER/IRM/AS) will arrange for needed repairs for this type of Agency OE-purchased equipment. Offices may contact their client analyst for advice before calling for needed repairs from M/SER/IRM/AS if technical advice is required; otherwise, repairs are handled by M/SER/IRM/AS staff. In the Missions, IRM resources which are not under a blanket central contract for maintenance managed by M/SER/IRM are repaired following procedures developed by the Missions. (Note: M/SER/IRM does not arrange for repairs to Agency equipment purchased for program-funded, A.I.D.-financed projects.)

Any office staff member in A.I.D./W who moves assigned equipment, software, or cabling without M/SER/MO assistance and M/SER/IRM concurrence may be personally liable for resulting damages.

4. Central Computer Services

M/SER/IRM responds to A.I.D. users' requirements for diverse computing needs through the provision of several additional central services. These include systems operations services, systems maintenance services, and telecommunications. These services are discussed in the following subsections.

The Agency's central computer resources are intended to support A.I.D.'s internal support activities. In circumstances where these facilities or others are required to support A.I.D.-financed projects for the LDCs, arrangements are made through the M/SER/IRM client-analyst network. M/SER/IRM will work with A.I.D. project officers to assure that appropriate technical and financial arrangement are met.

a. Systems Operations. M/SER/IRM operates a large central computer facility that provides required computing power for the development and operation of applications. The resources, including technical support and facilities management, are managed centrally. In addition to the support services provided to mainframe systems users as described under the Technical Support Center in section C3a, Agency users may obtain a copy of the M/SER/IRM publication entitled "A.I.D. Computer Center User's Guide" for utilization of these resources. This guidebook describes key aspects of mainframe computer systems concerns including M/SER/IRM response organizations, services provided, computer access, job control conventions, operating systems processing, languages and procedures, system software products, and technical assistance information.

b. Systems Maintenance Services. Operational information systems resident on the Agency's mainframe computer are not static and require periodic changes in order for using offices to respond to programmatic shifts or altered information requirements. Maintenance of these systems, i.e., keeping the software for the systems current and operating smoothly, is managed by M/SER/IRM in response to user needs. An M/SER/IRM staff member is identified for each A.I.D./W and Mission system identified in sections B2c or B4a(1) above that is developed, issued, and supported by A.I.D./W. These staff members provide support to the A.I.D./W functional office responsible for the system as well as the overseas users. The cost of maintaining such systems can be considerable and overall proposed system changes are evaluated by M/SER/IRM before undertaking system modification efforts. M/SER/IRM staff will consider technical alternatives when changes are necessary, offering the most cost-effective strategies to meet user needs. M/SER/IRM services include required systems consultation when revised information processing requirements are anticipated.

Agency systems which appear to be obsolete, nonutilized, or underutilized will be the subject of assessments by M/SER/IRM under its review responsibilities of the IRM Act. Those systems which no longer appear justified are targeted for termination or transfer to other more appropriate system technologies.

c. Telecommunications. A.I.D. provides text and data telecommunications services for both A.I.D./W offices and the Missions. The goal of Agency telecommunications services is to link Agency users so as to allow the transfer of data between A.I.D./W offices, between the Missions and A.I.D./W, and between missions. Additionally, telecommunication services are provided as required for access to selected non-A.I.D. sources of data either through commercially obtained services or through intergovernmental networks. Communciations between A.I.D. and its overseas posts are provided when practicable through the Department of State's high-speed lines as discussed in the IRM policy requirements section B2g.

Data telecommunications between A.I.D./W offices is principally accomplished through telecommunication links with office information systems installed throughout the Agency. Such linkages provide a wide access to core data within the Agency while insuring that the integrity of such data is protected.

5. Information Training and On-Site Assistance

Formal training on standardized Agency automation resources is conducted by M/PM. M/SER/IRM works with M/PM to assure that information technology which is to be integrated within the Agency is supported by appropriate training for Agency staff. M/SER/IRM does provide limited regional and A.I.D./W ad hoc briefings or seminars on new technology and provides hands-on exposure to standard hardware and software in the A.I.D. Technical Support Center (see C3a).

Where it is not cost-effective to support in-house training or briefings in A.I.D., Agency user staff proposes specific off-site training through M/PM; M/SER/IRM advises M/PM, when requested, if questions arise regarding requested technical training's relevance to A.I.D.'s current or future information technology requirements. For the Missions, periodic regional workshops are conducted which focus on information technology and management issues and problems and are supplemental to formally required training for overseas staff. In addition, M/SER/IRM client support staff members when traveling to the field are often requested to provide on-site automation, technical, and management consulting assistance.

M/SER/IRM supplements the Agency's formal and informally provided training through the A.I.D. Technical Support Center as well as through publications such as the Info Exchange and overseas guidebooks on automation.

1D. A.I.D. Information Management Oversight Activities

A.I.D. has adopted an information resources management (IRM) concept which involves central planning of IRM needs with operational responsibility for these resources in the hands of the users. Effective IRM resource planning is dependent upon using lessons learned from past decisions to enhance prospective planning for future information technology resources. A.I.D. is required to respond to external guidance on IRM oversight and integrates this guidance, as a matter of course, within internal efforts to manage Agency resources. Some of the key oversight activities are GSA's IRM Review Program, assessments of A.I.D./W and Mission IRM needs, and the review of A.I.D.-financed IRM information technology resources.

1. IRM Review Program

The IRM Act of 1980, Public Law 96-511, requires that each federal agency periodically review its information management activities to ensure that these are carried out in an efficient, effective, and economical manner. Within A.I.D., the Office of Information Resources Management was created to manage the Agency's overall IRM requirements including oversight of these resources. Broad policy direction for IRM in A.I.D. is assigned to the Assistant to the Administrator for Management (AA/M) as A.I.D.'s Senior IRM Official. The IRM Act further requires that OMB, together with GSA, selectively review the information management activities of each agency at least once every three years to ascertain their adequacy and efficiency. OMB has assigned responsibility for conducting the selective reviews to GSA's Office of Information Resources Management (OIRM).

To implement these and other government-wide review responsibilities, GSA has developed a triennial review and reporting process which relies substantially upon the review capabilities of the federal agencies. The IRM Review Program is formally established and described in FIRMR Temporary Regulation 10, which also describes the policies and procedures to be followed in carrying out the review requirements of the IRM Act. GSA has issued supplementary guidance to USG agencies entitled "The IRM Review Handbook." A.I.D. IRM reviews or studies are undertaken, as needed, to address various IRM activities such as automation, telecommunications, personal computing, corporate data base planning, information technology assessments, and major information systems.

It is M/SER/IRM's policy that efforts are made to integrate IRM review needs, when possible, within other A.I.D. responses to external reporting such as OMB Circulars A-76 (performance of commercial reviews), A-123 (vulnerability assessments and internal control reviews), A-127 (financial management systems reviews), and other IRM-related reviews. Given the nature of the A.I.D. program, which is international in scope, IRM reviews are made a part of Mission IRM reviews and long-range planning within the Missions. These and other oversight activities are intended to achieve the Agency's goal of acquiring and utilizing compatible, cost-effective IRM resources to support the Agency's efforts in implementing the U.S. Foreign Assistance Program objectives.

2. Reviews of AID/W and Overseas Automation Programs

As part of the management oversight of its IRM resources, the Agency through M/SER/IRM, using OMB/GSA policy guidance, conducts various assessments of information technology needs and past initiatives. A.I.D./W and Mission assessment strategies are described in the following:

a. A.I.D./W Reviews. As A.I.D./W's IRM resource needs are centrally budgeted, IRM reviews consider information needed to support planning and information on past implementation initiatives. In the first instance, M/SER/IRM undertakes long-term planning to identify the strategy and resources required to meet the future information technology IRM needs of its managers and their staffs. Such an approach has been employed in such areas as office automation, IRM resource standardization, IRM technical support, and telecommunications. This planning extends to assessments of the specific needs of offices; these reviews are performed in conjunction with and results provided to the office or bureau involved. In the second instance, follow-up assessments are initiated either through the IRM review mechanism or through ad hoc assessments to focus on broad IRM resource areas in the pursuit of obtaining lessons-learned input for future planning or for mid-course changes to current plans and policies.

b. Mission Reviews. Each A.I.D. Mission is required as part of the annual ABS submission to identify prospective IRM resource requirements. In turn, M/SER/IRM reviews each submission and may suggest revisions or alternatives to the Missions. Additionally, M/SER/IRM conducts on-site assessments of Missions' IRM activities. Each review comprehensively assesses a Mission's IRM needs and past experiences with a view toward assisting the Mission in getting the most out of its information resources.

The reports resulting from these reviews address several IRM considerations, e.g., background of Mission's IRM resources, management of the Mission's automation program, staffing environment, program needs, automation needs analysis, telecommunications assessment, site support capabilities, site physical requirements, other USG resource availabilities, vendor support, user capabilities, relevant miscellaneous information, Mission automation planning, and report conclusions on automation needs and alternatives.

Missions can request ad hoc assistance from M/SER/IRM to address discrete IRM problems. To the extent possible, such requests are handled via telecommunications or cable, but TDY of IRM direct-hire staff or contractor technical staff may be dispatched for on-site assistance. In addition to these approaches, the Missions are encouraged to undertake long-range IRM planning (three to five years).

3. IRM Reviews of Agency Program-Funded Requirements

M/SER/IRM client analysts will assist Mission and A.I.D./W program and project managers by evaluating project proposals to assure that major automation issues have been addressed, the requirements analysis is complete, procurement issues have been addressed, and appropriate organizational planning considerations are incorporated. The technical review by A.I.D./W will assist Mission staff in determining whether appropriate technology is proposed and that the project assistance recognizes the complex information factors existent in various LDC environments. The acquisition of computer hardware and software and related resources for A.I.D. projects is fraught with technical and procedural requirements, particularly procurement, and can affect significantly the timing and acquisition of needed resources.

M/SER/IRM has direct-hire and contract staff who are involved in the review information technology components in project proposals. Missions proposing A.I.D.-financed projects with automation components can cable or telecommunicate through the International Telecommunications System (ICS) to M/SER/IRM for advice and assistance and are encouraged to do so at the earliest possible planning stages. M/SER/IRM staff members are also available for assisting in post-implementation analyses of automation resource impacts for completed projects.

To assist Mission Project Managers in developing information technology project components, a guidebook entitled "Guidelines for Managing Automation Assistance in A.I.D. Development Projects" has been developed and is made available to the Missions.

CHAPTER 2

DATA ELEMENTS MANAGEMENT

2A. Purpose

This chapter states the policies and objectives of the Data Elements Management Program in A.I.D., and establishes responsibility and procedures for its operation.

2B. Authorities

1. P.L. 89-3061 (Brooks Bill) October 1965

P.L. 89-3061 amends the Federal Property and Administration Services Act of 1949 and provides for standards in the purchase, lease, and maintenance of Automatic Data Processing Equipment.

2. Code of Federal Regulations

Subtitle A of Title 15, Part 6 of the Code of Federal Regulations of 1973 transferred to the Department of Commerce all functions relating to policy determination, monitoring and standardization of data elements. Part 6 also outlines the responsibilities of Departments and independent agencies of the Executive Branch for data elements and establishing data element management within their organizations, where such efforts will contribute to reduced costs or improved services.

3. Federal Information Processing Standards (FIPS)

This series published by the National Bureau of Standards, Institute for Computer Sciences and Technology, is used to announce Federal Information Processing Standards, provide an index of relevant standard publications and specifications and provide standard information of general interest and guidance. DM/IM is the focal point for consideration of and comments on NBS documentation.

4. FIPS PUB 28, Standardization of Data Elements and Representations

This FIPS PUB delineates the policies, purposes, background, and objectives of a data elements standardization program to be implemented in Federal Agencies and establishes standard terminology through the publication of a glossary of terms.

2C. Definitions

1. Data Element - A basic unit of identifiable and definable information. A data element occupies the space provided by fields in an automated record or blocks on a manually prepared form. A data element may have subcategories which are called Data Items and have distinct units or values; e.g., "month" is a data element whose data items (or components) are "January," "February," "March," etc., and similarly "country code" is a data element whose items are "391" for Pakistan, "439" for Laos, etc.

2. Data Element Management System - A system concerned with the standardization of data for consistent usage, and cataloging and control of standardized data used in both automated and manual information systems.

3. Data Element Source - An identification of the source or provider of a particular data element.

4. Data Element Definition - A statement of the meaning of a data element.

5. Data Element Abbreviation - An abbreviated form of the data element name.

6. Information Transmittal - Any data or information appearing in a prescribed format or set grouping originated by a valid and substantial information requirement. Data elements appearing in information transmittals must have a purpose and be definitive. Examples of information transmittals with data element implications of considerable import are: Forms, Reports, Directives, etc.

2D. Objectives

The objectives of the data elements management program are to facilitate development, interchange, understanding and integration of information systems. The Data Elements Program supports the Agency's data base systems by providing a data elements dictionary/directory which describes and gives the location of each component data element. These objectives are:

1. Identifying, collecting, defining and categorizing recurring data used in the Agency's information system.

2. Eliminating many occurrences of unnecessary duplication, ambiguity, and imcompatibilities in the collection, processing, and dissemination of data.

3. Standardizing and prescribing agency use of data elements, their definitions, abbreviations, and location.

4. Providing a comprehensive reference source for agnacy use through issuance of a data elements dictionary.

2E. Responsibilities

The Office of Data Management, Information Management Division (DM/IM), is responsible for the review, coordination, and approval of data elements used in agency information systems that are part of the Agency's automated data base that uses the data base management system. Functional offices are responsible for collaboration with DM/IM in the development of information about data elements, e.g., title, definition, legal value, etc.

2F. Program Development Activities

An automated dictionary of data elements used in standalone agency information systems is on file in the Office of Data Management. A data element dictionary/directory for the information systems using the data base management system is maintained on-line and is accessible through a computer terminal. Periodically updated copies of the dictionary/directory are issued to users of these information systems.

CHAPTER 3

CODING SYSTEMS USED IN A. I. D.

3A. Purpose

This chapter sets forth the responsibilities and procedures for the coordination, establishment, modification, and cancellation of codes and coding systems used in A.I.D.

3B. Policy

A.I.D. cooperates with, and participates in, Government-wide coding standardization efforts and coordinates the development of standardized coding systems for internal Agency use.

3C. Definitions

1. Codes - Codes are a system of letters, numbers or symbols used to represent words. Coding systems and codes are generally classified as follows:

   a. Alpha Codes - Codes consisting of letters only.

   b. Numeric Codes - Codes consisting of numbers only.

   c. Alpha-numeric Codes - Codes consisting of a combination of letters and numbers.

2. Internal Agency Codes - Are codes prescribed for use by more than one A.I.D. Bureau or Office. These codes are included with descriptions and structures in Appendix D. Internal Agency codes are often referred to as "core" codes because they are used on a number of A.I.D. documents and used interchangeably among A.I.D. offices.

3. Internal Office Codes - Internal office codes are unique to a single functional office. These codes may be found in handbook material or descriptions of internal procedures relating to that office. These codes may be prescribed for use by other A.I.D. offices submitting information for inclusion in an automated or manual information system controlled by the owning office.

4. External Agency Codes - Interagency - External codes are codes used in A.I.D. that are established and maintained by other agencies. For example, the FEDSTRIP codes are issued by GSA, but are used by A.I.D.

3D. Responsibilities

1. The Office of Date Management, Information Management Division (SER/DM/IM), represents A.I.D. in Government-wide code planning and standardization efforts. DM is responsible for coordinating the development of coding systems with the objective of standardizing these systems wherever possible and the maintenance and issuance of a listing (Appendix D) of all Agency coding systems prescribed for Agency use outside the requiring A.I.D. Bureau or Office. Each A.I.D./W office has responsibility for the currency of coding structures that they prescribed for Agency or internal use.

2. SER/DM is also responsible for the approval and inclusion of codes in the automated decode file of the Agency's data base management system.

3E. Procedures for Establishing, Revising, and Canceling Coding Systems

1. AID/W Bureaus and Offices

a. Internal Agency Coding Systems

(1) Major Changes

Major changes to a coding system are alterations to the basic structure; e.g., replacing letters with numbers, changing the significance of a character or number within a system, or discontinuance of a code or number used in a system. The A.I.D./W office initiating a major change will perform the following actions:

(a) Utilize Handbook 18, Appendix D, to determine the impact of a proposed change on other coding systems; such as the use of the code to be changed as a component of another coding system;

(b) Contact SER/DM/IM when first considering major changes;

(c) Draft change and obtain clearance from all offices affected by the change;

(d) Consider the inclusion of a DM representative in any clearance meetings regarding the proposed change;

(e) Forward a memo to SER/DM/IM for approval on the finalized action upon conclusion of the discussion phase;

3E1a(1)

(f) Initiate changes to the functional office handbook material relating to the revision, providing SER/DM/IM with the copy; or

(g) Forward to SER/DM/IM the material necessary for inclusion in Appendix D regarding the necessary change to the core coding system.

(2) Minor Changes

Minor changes are changes in the data elements which a coding system represents; e.g., a new country or a new A.I.D. office is established and added to the listing or a name change is made but the code is not changed. The following procedures are employed for minor changes:

(a) The office initiating the minor change obtains clearance through coordination only with those offices which are directly affected;

(b) Revisions to the handbook containing the actual codes listings are prepared by the responsible office, except when the minor revision involves a "Core" coding system, the appropriate material is forwarded to SER/DM/IM for inclusion in Appendix D;

(c) When responsible offices send changes in the code listing(s) in their handbook(s) to the Office of Management Planning, Division TWO (SER/MP/TWO), for publication, an informa- tion copy is also sent to SER/DM/IM by the responsible office. When the change affects a code listed in Appendix D, the changes are sent to SER/DM/IM instead for final review and transmitted to SER/MP/TWO by SER/DM/IM.

b. Internal Office Coding Systems

(1) Functional offices are solely responsible for revisions to their internal office codes, SER/DM/IM normally has no involvement except when called upon for advice or guidance.

(2) Internal office codes will not be developed to replace standardized Agency codes.

3E1

c. Interagency Coding Systems

When changes to coding systems used among Government agencies are proposed, SER/DM/IM is generally involved as an overall Agency representative and coordinator. However, A.I.D./W offices are called upon to provide team members who have sufficient technical expertise to adequately evaluate any proposals made by interagency task groups.

2. SER/DM/IM

a. Internal Agency Coding Systems

(1) Major Changes

Upon initial contact by the office initiating a major change or revision, SER/DM/IM:

(a) Provides assistance and guidance regarding the implications of the proposed change.

(b) Participates in discussions with offices affected by the proposed change.

(c) Obtains from the initiating office relevant handbook material and material necessary to insure documentations of the change.

(d) Upon approval, forwards the change to SER/MP/TWO for handbook revision.

(2) Minor Changes

Minor changes are usually implemented by the initiating office. However, SER/DM:

(a) Upon request, participates in discussions and provides guidance to initiating office regarding minor changes.

(b) Upon receipt of notification from the initiating office, reviews or reviews handbook material (if applicable) or annotates documentation to reflect such change.

3E2

b. Internal Office Coding Systems

Generally, SER/DM/IM has no involvement with internal office changes. SER/DM/IM will, however, provide advice and guidance when requested by the initiating office.

c. Interagency (External) Codes

The Department of Commerce, Bureau of Standards, sponsors a long-range project to standardize, among U.S. Government agencies, the codes used to represent such data elements as countries, places, government agencies, states, time, etc. A.I.D. representation and liaison with such interagency task groups are provided by SER/DM/IM. In this capacity, SER/DM/IM:

(1) Requests such additional representation from other A.I.D./W offices as is appropriate to the type of code to be discussed;

(2) Drafts, clears, and send replies to OMB or other agency communications in the coding area;

(3) Informs A.I.D./W offices of developments within coding task groups.

When the codes are to be used entirely within the originating office, or when they are used on internal office communications, DM/IM has no involvement.

3F. Listing of Coding Systems Used in AID (Appendix D)

1. All coding systems used in A.I.D. are listed and described in Appendix D. The coding systems are listed alphabetically in Section I.

2. Section I now lists the coding system by name, the structure of the system, an example of the code, where the code is used, and the office which prescribes the use of the code.

Codes are not listed in Appendix D when:

a. Used informally within a single A.I.D./W office or Mission;

b. They do not appear on documents which are forwarded outside the office that originates the code.

CHAPTER 4

REPORTS MANAGEMENT

4A. Introduction

This chapter sets forth the policies, responsibilities, and procedures for the management of reports within A.I.D. to assure that reports and reporting systems are as efficient, effective, and economical as possible

4B. External Regulations Applicable to Establishing a Reports Management Program and the Management of Internal Reports

1. Federal Records Act of 1950 - Paperwork Management

The Federal Records Act of 1950 provides the legal basis for paperwork management in the Federal Government. The law requires the head of each agency to establish a continuing program for the economical and efficient management of the agency's records.

2. Federal Property Management Regulations - Sec. 101-11.207 Reports - Agency Program Responsibilities

This regulation requires each Agency to establish an appropriate program to manage its internal reporting requirements. The program shall provide for the implementation of standards and procedures for managing reporting requirements and for the consideration and observance of all applicable laws and statutes relating to reporting requirements; e.g., Freedom of Information Act, Privacy Act, Federal Information Processing Standards (FIPS), Federal Reports Act, Paperwork Reduction Act of 1980 - 5 CFR 1320, Controlling Paperwork Burdens on the Public General Accounting Office directives 4 CFR 10, and the Federal Property Management Regulation 101-11.11 (interagency reporting requirements).

4C. Objectives of the Reports Management Program

The A.I.D. Reports Management Program is designed to assist A.I.D. managers fulfill their responsibilities while achieving efficiency, economy, and simplicity in reporting systems. The following are specific objectives of the program:

1. To provide a uniform, well defined flow of information;

2. To limit reporting requirements to those which are essential to attaining A.I.D. objectives;

4C

3. To ensure that all available data on a subject is used before a new requirement for additional data is levied;

4. To ensure that reports are obtained from the best source at a cost consistent with program objectives.

4D. Definitions

The following terms and definitions apply to the A.I.D. Reports Management Program.

1. Report - Data or information transmitted for use in determining policy; planning, controlling, and evaluating operations and performance; in making administrative determinations; or preparing other reports.

2. Recurring Report - A report required at established intervals or upon the occurrence of a specified event.

a. Periodic Report - A report which conveys essentially the same type of information regularly at prescribed intervals (e.g., daily, weekly, monthly, etc.).

b. Situation Report - A report which is prepared upon each occurrence of an event or situation of prescribed characteristics.

3. One-Time Report - A report prepared one time only by one or more respondents.

4. Feeder Report - A recurring report prepared in part or for the primary purpose of providing data to be used in preparing another report.

5. Controllable Report - A recurring or one-time report not specifically exempted from control by IRM/PE.

6. Exempt Report - A report which does not require approval and assignment of a report control symbol or one which has been reviewed by the reports review unit and assigned to the exempt category.

7. Internally Required Report - A report required, prepared, and used within A.I.D.

8. Intraoffice Report - A report prepared by one or more organizational units within an A.I.D. Bureau, Office, or Mission, at the request of another organizational unit within the same Bureau, Office, or Mission.

4D

9. Public Reporting - Any reporting or recordkeeping required from ten or more non-Federal Government businesses, institutions, groups, or individuals.

10. Interagency Reporting - Any reporting requirement to a Federal department or agency from one or more other Federal departments or agencies.

11. Congressional Reporting - Any reporting required under the Foreign Assistance Act, the Foreign Assistance and Related Agencies Appropriation Act, or any reporting requested by a Congressional Committee, Senator, or Congressman.

12. Report Control Symbol - Alphabetic and numeric symbols assigned to reports by the Office of Information Resources Management, Planning and Evaluation (IRM/PE). or other reports management units which serve to identify the report and indicate review and approval of the requirement.

13. Requiring Office - An A.I.D. office that initiates a reporting requirement or sponsors a requirement imposed by an organization external to A.I.D.

14. Respondent - An A.I.D. office, individual, or other agency required to respond to a reporting requirement.

4E. Responsibilities

1. Office of the Associate Assistant to the Administrator for Management, Directorate for Program and Management Services (M/AAA/SER) (Policy Guidance)

M/AAA/SER is responsible for providing policy guidance and for insuring the development and implementation of the A.I.D. Reports Management Program. M/AAA/SER is assisted in the discharge of this responsibility by SER/IRM.

2. Office of Information Resources Management, Planning and Evaluation Division (SER/IRM/PE) (Program Implementation)

IRM/PE is responsible for implementing prescribed policies for, and establishment and maintainance of the Reports Management Program. More specifically, IRM/PE:

a. Establishes guidelines and review and control procedures to assure agency compliance with existing reporting policies;

4E2

b. Provides assistance and guidance to A.I.D./W and Missions in developing reporting requirements;

c. Analyzes and approves or disapproves requests for new or revised internal reporting requirements;

d. Administers the periodic review and evaluation of existing information requirements to form a basis for recommending improvements, including revision, discontinuance, or consolidation of reports and reporting systems;

e. Performs Agency review of public and interagency reporting requirements and serves as liaison with OMB and GSA for their clearance procedures;

f. Maintains a current inventory of all controlled reports and issues a listing of reports in the inventory;

g. Provides guidance to responding offices on the establishment of a reporting calendar.

3. AID/W Bureaus, Offices, and Missions Management of Internal Reports

A.I.D./W Bureaus, Offices, and Missions are responsible for the development and management of their intraoffice information requirements in accordance with the criteria outlined in 4F and 4G.1.b. Missions also cooperate in reviewing and analyzing internal A.I.D. reporting requirements as they affect Mission operations, in order that the requiring office and IRM/PE may benefit from their suggestions and recommendations for improving the Agency's reporting system.

4. Offices Requiring the Submission of a Report

A.I.D./W Bureaus and Offices are responsible for initiating action to establish new internal A.I.D. reporting requirements or to revise existing requirements in their functional areas. IRM/PE is available to provide guidance to requiring offices to assure adherence to the policies and procedures set forth in this Chapter. More specifically, requiring offices:

a. Ascertain that new or revised reporting requirements conform, as applicable, to the criteria outlined in 4G;

4E4

b. With assistance from IRM/PE, coordinate with respondents and users of reports during the development of the reporting requirement to ensure approval and to avoid costly modifications after issuance of the reporting requirement;

c. Plan the report to ensure that it accomplishes the desired results, including the actions to be taken by respondents and users of the report, necessary forms or formats to be used for input and the procedures and equipment required to process the data and distribute the information to users.

d. Prepare specific and clear instructions for the preparation of the report in order that the respondents readily understand what data is required.

e. Ensure that all report forms, formats, or instructions soliciting personal information contain pertinent statements required by the Privacy Act of 1974. See HB 18, Pt II, Ch 12, and Pt V, Ch 5;

f. Ensure that necessary clearances and approvals are obtained, including clearance by the office of Public Inquiries, XA/PI, particularly when a report establishes a file containing personal information on individuals;

g. Clear all internal A.I.D. reporting requirements, including requests for one-time reports, with IRM/PE;

h. Submit to IRM/PE all requests for proposed public and interagency reporting requirements subject to clearance by OMB and GSA;

i. Apply reports analysis and control standards to intraoffice reporting requirements;

j. Maintain an inventory of intraoffice reporting requirements and submit to IRM/PE upon request.

5. Respondent

a. Requests for reports and related information are subject to the same analysis and evaluation as other operational requirements involving the expenditure of funds and manpower. Respondents are responsible not only for initiating comments, suggestions, recommendations, and constructive criticisms of approved reports, but for doing so in a manner that can be readily evaluated by the requiring office. More specificially, respondents:

4E5a

(1) Determine if a request for a report has been assigned a report control symbol and has been properly authorized in accordance with procedures outlined in this chapter;

(2) Determine whether or not the prescribing directive(s) or instructions for the report are clear and complete;

(3) Examine available data to determine if the data requested can be obtained by the required due dates and can meet other requested specifications;

(4) Recommend improvements to reporting requirements;

(5) Establish a calendar for assuring timely submission of required reports.

b. Correspondence offering comments, suggestions, recommendations and criticism is to be directed to the office originating the reporting requirement, with a copy to IRM/PE.

4F. Reports Analysis

The following suggestions are provided for the use of requiring offices in establishing reporting requirements and for the management of intraoffice reporting requirements.

1. General Criteria

Each new or revised reporting requirement is analyzed to assure the proposed report:

a. Provides a basis for measuring performance, making and revising policy, performing the functions of the requiring office, or fulfilling some other valid need of the user office;

b. Is timely enough to be useful.

c. Is as effective and efficient as possible in the collection, transmission, processing, and utilization of data;

d. Does not duplicate other reporting requirements.

4F

2. Determining Reliability and Availability of Source Data

Every effort is made to determine if the proposed respondent is the proper source for providing the data requested. An effort is also made to determine whether or not the information requested is already available in the responding offices or must be gathered from another source, thus generating another reporting requirement.

3. Determining Internal Consistency

Requests for new or revised reporting requirements are analyzed to ensure, to the greatest extent possible, that requested data items are consistent with data contained in other A.I.D. reports; e.g., that data included in financial and statistical reports are based upon the same formulas, cover the same time periods, and are computed in the same manner as are program and other related reports, and that standard and generally accepted A.I.D. reporting or program terminology and coding systems are used.

4. Evaluating Cost

Reporting requirements are analyzed to determine if the investment of money and work hours is justified in comparison to the benefits derived in terms of increased efficiency and effectiveness. Some of the criteria used are: cost of preparing, reproducing, reviewing, and storing the report; proposed distribution, and feasibility of using existing reports.

5. Review of Requiring Directive and Method of Transmitting Data

a. Requiring Directive

The directive establishing a new or revised reporting requirement is reviewed to assure that the instructions clearly indicate why the report is required, who is to report, what is to be reported, when the report is due and the office or individual requiring the report. The directive shall also contain the report title, report control symbol, format, recommended data source, instructions for preparation, number of copies, the distribution, and whether negative responses are required.

b. Method of Transmitting Data

Instructions are reviewed to determine if the proposed method for transmitting requested information is the most economical and efficient. Whenever possible, reports are submitted on printed forms to assure that all items are covered and presented in a uniform format when received. See Chapter 5 for additional information concerning the design of forms.

4F

6. Reviewing Plans for Processing and Utilization of Data

Usually a number of reports are received in compliance with a reporting requirement. The recipient then must consolidate the information to meet the objective of the reporting requirements. Narrative reports that convey status, opinions, or general plans may not require a precise format and will be read for concensus only. Reports that provide specific data to be summarized or otherwise processed must meet more rigid format requirements; therefore, the method of processing the reported data must be reviewed to determine if the manner in which the data is being requested, both in format and procedure, meets the processing requirements. Will the data to be processed manually lend itself to the use of grids or charts for summarizing? Is the input form for ADP systems designed to facilitate the conversion of data to machine readable form?

4G. Reports Management

Reports management includes monitoring the initiation, revision, and discontinuance of reports; approval and disapproval of new and revised reports; and the assignment of report control symbols.

1. Assignment of Report Control Symbols

a. All recurring internal A.I.D. reports are assigned a report control symbol by IRM/PE. This symbol consists of a serial number preceded by one of the following key letters used to identify each of the two report groups: U - Mission reports to A.I.D./W; and W - all other reports.

b. Missions and A.I.D./W Offices assign report control symbols to their internally managed intraoffice reports, using the appropriate organization alphabetical symbol; e.g., FM for Office of Financial Management, or PAN for USAID Panama, as part of the identification.

c. Congressional reporting requirements are identified by a nine-character report control symbol assigned by IRM/PE. The first four characters are CONG, followed by eitner an L for Tegislatively required reports, a R for reports submitted at the request of a committee or member, or a P for reports which are Presidential determinations. The identifying letter is then followed by a four-digit sequence number.

4G1

d. Interagency report control numbers are assigned by the Office of Office Information Systems, Office of Information Resources Management of GSA. The coding structure for the interagency reports is a four-digit serial number followed by a three letter abbreviation for the requiring agency followed by a two letter code for the report frequency.

2. Evidence of Approval

a. Assigned report control symbols are shown in the upper-right corner of the cover page of reports to indicate approval by IRM/PE. All communications concerning reports show the report's control symbol as part of the subject. Forms, directives, or instructions prescribing the use of reports should also cite the appropriate report control symbol.

b. Forms, directives, or other instructions, and communications prescribing the use of A.I.D.-required interagency and public reports must cite the interagency report number assigned by GSA or approval number assigned by OMB, to such reports.

3. Referral of Unauthorized Reporting Requests

Requests for recurring reports not bearing an A.I.D. reports symbol are referred to IRM/PE. Pending action by IRM/PE, initial compliance or noncompliance may be determined by the responding office, based on the apparent urgency, the nature of the data requested, and the source of the request. Requests from private organizations are referred to the Office of Public Affairs (OPA) for guidance regarding compliance or noncompliance. However, requests from private organizations which OPA determines to be valid and which are recurring reporting requirements are submitted to IRM/PE for reports management purposes.

4. Requests from Higher or Outside Authority

Requests from higher or outside authority for establishing a new report, or expansion or revision of an existing report, must be brought to the attention of IRM/PE. New reporting requirements requested by higher or outside authority are to be identified by the assignment of report control symbols.

4G

5. Congressional Reports

Congressional reports, as defined in 4D11 are subject to the control provisions of this chapter. See Part II, Chapter 1, for specific information regarding the responsibilities and procedures established by the Office of Legislative Affairs for the preparation and submission of these reporting requirements.

6. Exempt Reports

A final decision as to whether or not a report is exempt from the control provisions of this chapter is made by IRM/PE. Exempt reports include information requirements which could be interpreted as a report. Examples of exempt reports are:

a. Logs and operating documents;

b. Official reports of audit, including all accumulations, collection and reports used in audit reviews and reports;

c. Reports of personnel audit surveys prepared by specified personnel groups;

d. Formal reports of findings, recommendations, or actions prepared by ad hoc committees, survey teams, or boards appointed to inquire into and report on a specific matter;

e. Nominations or recommendations of individuals for all types of programs or awards;

f. Narrative type reports relating solely to the A.I.D. public affairs program. (See HB 18, Part I.)

7. Review of One-Time Reports

One-time reports, unless required of members of the U.S. Public or another U.S. Government agency, are not subject to the full control provisions outlined in this chapter. Unusually large reports requiring Agency-wide compliance are to be brought to the attention of IRM/PE for review of methods for collecting and processing the resulting data.

8. Directives and Other Instructions which Initiate or Revise Recurring Reports

The concurrence of IRM/PE obtained prior to the issuance of any directive, instructions, or message which explicitly or implicitly require submission of, or revision to, a recurring report.

4H Procedures for Submission of Requests for Clearance of Internal A.I.D. Reporting Requirements

Internal A.I.D. reporting requirements are those generally established by one AID/W Bureau or Office requiring the compliance of other Bureaus or Offices and/or overseas offices and Missions. The compliance may be in the form of a manually prepared report or one prepared with the assistance of automatic data processing equipment. Also included in this category are reporting requirements established by an A.I.D./W office to meet requirements imposed on the Agency by the Congress or other Government agencies.

1. Requests for Clearance of New or Revised Recurring Reporting Requirements

a. A request for approval of a new or revised recurring report is submitted to IRM/PE using form AID 3-198, Report Approval Application (Attachment 4A), together with a proposed form or format and draft directive or other instructions. Instructions for the completion of AID 3-198 are included in Attachment 4A. If the reporting requirement will utilize a printed form, AID or external, the applicable procedures outlined in Chapter 5, Forms Management, are also to be followed.

b. Upon receipt of form AID 3-198 and appropriate documentation, IRM/PE reviews the requirement to determine whether or not the request meets the applicable criteria set forth in this chapter.

c. After appropriate review and analysis, IRM/PE indicates approval or disapproval of the request on AID 3-198. If approved, a reports control symbol is assigned (see 4G1) and a copy of AID 3-198 is returned to the requiring office. If disapproved, IRM/PE returns a copy of AID 3-198 and informs the requiring office, in writing, of the reason for disapproval.

2. Requests for Approval of One-Time Internal AID Reports

A request for approval of a one-time internal AID report as defined in Section 4G7 is made by submitting the requiring instructions and report format to IRM/PE for review. Submission of AID 3-198 is not required.

4I. Procedures for Submission of Requests for Clearance of Public Reports

This section contains the external regulations applicable to the management of public reports and guidance for the submission of a request for obtaining clearance from the Office of Information and Regulatory Affairs, Office of Management and Budget, for establishing or revising a public report. Requiring members of the business community, educational institutions, or the general pulblic to provide information requires compliance with the Privacy Act of 1974, the Freedom of Information Act, as well as the Public Reports Act, When a public reporting requirement is in the planning stages, requiring offices are advised to consult with IRM/PE on how to best structure the requirements to comply with applicable laws and regulations.

1. Applicable External Regulations

a. Paperwork Reduction Act of 1980 - 5 CFR 1320-Controlling Paperwork Burdens on the Public

The Paperwork Reduction Act of 1980 has the following objectives: to reduce the paperwork burden imposed by the Federal Government; to reduce the cost of government information processing activities; to collect only as much information as is needed and can be used, and to use it effectively; to eliminate inconsistencies wherever possible among governmental policies dealing with information; to make more effective use of computers and telecommunication technology to make government operations more efficient; and to establish safeguards to protect the legitimate privacy and confidentiality concerns.of individuals and enterprises.

b. Office of Management and Budget (OMB) 5 CFR 1320, Controlling Paperwork Burdens on the Public

The purpose of 5 CFR 1320 is to implement the provisions of the Paperwork Reduction Act of 1980 concerning collections of information. No agency is to conduct or sponsor the collection of information required by law or necessary to obtain a benefit from 10 or more persons without the prior approval of the Office of Management and Budget. Any collection of information submitted to nine or fewer persons, must contain a statement that it is not subject to OMB review under the Act. No person is subject to any penalty for failing to

maintain or provide any information, if the information collection request does not display a current control number assigned by OMB. An information collection request' includes the use of written report forms, application forms, application forms, schedules, questionnaires, reporting or recordkeeping requirements, contracts, agreements, policy statements, plans, rules or regulations, planning requirements, circulars, directives, instructions, bulletins, requests for proposal or other procurement requirements interview guides, disclosure requirements, labeling requirements, telegraphic or telephonic requests, and standard questionnaires used to monitor compliance with agency requirements.

2. Request for Clearance of New Plans or Report Forms Within the U.S.A.

a. To request OMB approval of a new plan or report form, the following must be submitted to IRM/PE at least 60 days prior to the intended implementation date (four copies each of the following): SF 83, Request for OMB Review (Attachment 4B1), any instructions to be sent to the respondents, the proposed information collection item (forms, formats, etc.), supporting statement, and the regulatory authority for collecting the information (if any). The SF 83A, Instructions for Requesting OMB Review Under Executive Order 12291 or Approval of a Collection Information Under the Paperwork Reduction Act and 5 CFR 1320 (Attachment 4B2) contains detailed instructions on submitting a complete clearance package. The supporting statement is addressed on page 4 of SF 83A and each of the items must be answered either with the requested information or with 'NA' if that item does not apply to the information collection. If the reporting requirement will utilize a printed AID form, the procedures in Chapter 5 are to also be followed. Special consideration is to be given to elderly, visually impaired, and non-English-speaking persons when designing forms for use outside of the Aqency in accordance with the information contained in GSA Bulletin FPMR B 102, issued June 24, 1980.

b. Upon receipt of the appropriate documentation, IRM/PE reviews the requirement to determine whether or not the request meets the criteria established by OMB.

c. If, after review, it is determined that the request meets the OMB criteria, the Agency Clearance Officer in IRM/PE signs the SF 83 and forwards the documentation to OMB for action. A copy of the OMB action notice is sent to the requiring office after action by OMB has been completed. If the request does not meet the OMB criteria, IRM/PE notifies the requiring office.

3. Request for Information Collections Overseas

a. Under the provisions of 5 CFR 1320, Controlling Paperwork Burdens on the Public, AID may conduct generic information collections overseas. The Agency is required to display the appropriate OMB control number and expiration date on the front of each collection instrument. AID has a threeyear (renewable) approval to make collections overseas within the following groupings:

-- Health and Population Programs (OMB # 0412-0528, expires 7/31/88);

-- Education and Human Resources Programs (OMB # 0412-0529, expires 7/31/88);

-- Energy, Private and Voluntary Organizations, and Selected Development Activities (OMB # 0412-0526, expires 7/31/88);

-- Agriculture, Rural Development, and Nutrition (OMB # 0412-0527, Expires 7/31/88); and

-- All other AID Data Collections created in and conducted outside the United States (OMB # 0412-0525, expires 7/31/88).

Required management collection procedures include that:

"(1) the collection of information is the least burdensome necessary for the proper performance of the agency's functions to comply with legal requirements and achieve program objectives;

(2) the collection of information is not duplicative of information otherwise accessible to the agency; and

(3) the collection of information has practical utility."

To make a collection of information overseas of data designed in A.I.D./W, determine which of the above groups that your collection falls in, place the OMB number and expiration date in a prominent position on the collection instrument, and foward it to the field for collection.

b. The requiring Bureau/Office is responsible for developing an internal system for implementing the above requirements. The system must include a central index to facilitate document recovery. The Bureau/Office must:

(1) name a contact person to respond to inquiries about the questionnaires generated by the Bureau/Office for use overseas;

(2) advise IRM/PE of the name and telephone number of the contact person;

(3) place the proper generic number and expiration date on the collection instrument before dispatching it to the overseas area for collection;

(4) maintain a copy of the data collection and results in an appropriate place. If the collection is project specific, a copy should be placed in the official project porfolio; and,

(5) provide a copy of the collection instruments on request.

c. There is no requirement to maintain a file copy for OMB inspection of questionnaires developed and collected in the field.

d. As provided in 4I2 above, IRM will coordinate with OMB to obtain proper approval for information collections that do not fall under the generic coverage.

4. Requests for Clearance of Revised Information Collections

A request for OMB approval of a revised information collection item is made by following the same procedures outlined in 4I2.

5. Requests for Extension of OMB Approval

Extension of OMB approval is requested by the requiring office, after notification of an upcoming expiration by IRM/PE, at least 2 months prior to the expiration date, fo lowing the same procedures outlined in 4I2.

4J Procedures for Submission of Requests for Clearance of Interagency Reporting Requirements

Requiring offices initiating new programs and major policy changes involving interagency reporting requirements are to request assistance from IRM/PE in defining and assessing related reporting requirements. Such requests are to be made at the earliest practical opportunity in the planning of new programs and major policy changes to assure development of cost estimates and appropriate interagency involvement and clearance.

1. Federal Property Management Regulations, 41 CFR Subpart 101-11.11 - Interagency Reports Management Program

This regulation, dated July 1973, sets forth the procedures to be followed by agencies in the management of interagency reporting requirements, including obtaining prior approval of the General Services Administration (GSA) for such reports.

2. Requests for Clearance of New Reporting Requirement

a. A request for clearance of an interagency reporting requirement is submitted to IRM/PE 60 days prior to the effective date of the requirements using SF 360, Request for Clearance of an Interagency Reporting Requirement (Attachment 4C), together with supporting justification, including cost estimates, the directive prescribing the reporting requirement, and a proposed form or format to be utilized. Instructions for completion of SF 360 and preparation of supporting documentation are contained in Attachment 4C. If the requirement will utilize a printed A.I.D. form, the procedures outlined in Chapter 5 are also followed.

4J1

c. If, after review, IRM/PE determines the request meets the GSA criteria, the SF 360 is signed by the A.I.D. Interagency Liaison Officer (IRM/PE) and forwarded to GSA for action. One copy of SF 360 is returned to the requiring office after action by GSA has been completed. If the request does not meet the GSA criteria, IRM/PE notifies the requiring office.

3. Requests for Clearance of Revised Reporting Requirements

A request for clearance of a revised reporting requirement is submitted by following the same procedures outlined in 4J2. If the proposed revision is minor, IRM/PE is consulted for advice as to the extent of supporting documentation required.

4. Request for Clearance of Plans to Obtain Information to Prepare Statistical Compilations of General Public Interest

A request for clearance of an interagency reporting requirement which necessitates OMB approval because the information to be collected is to be used for statistical compilations of general public interest, or necessitates collection of information from the public by responding agencies, is submitted to IRM/PE following the procedures outlined above.

5. Request for Extension of GSA Approval

Extension of GSA approval is requested by the requiring office after notification of an upcoming expiration by IRM/PE at least 2 months prior to the expiration date. If no change other than the extension is requested, the requiring office submits SF 360 to IRM/PE.

6. Appeal Procedure

A requiring office or responding agency may appeal an interagency clearance or waiver decision made by GSA. The reason for the appeal is stated in writing and submitted to IRM/PE for transmittal to GSA. GSA reviews the appeal and forwards it, with a recommendation, to OMB for resolution.

4K. Reports Inventory

1. IRM/PE maintains an inventory of all recurring reports required by a Bureau or Office of another Bureau, Office, or A.I.D. Mission. Listings of reports in the inventory are contained in Appendix B as follows: Part I - Internal Reports - A. - A.I.D./W Recurring Reports, B. - Mission Recurring Reports to A.I.D./W; Part II - Public Reports; Part III - Interagency Reports; and Part IV - Congressional Reports.

4K

2. Missions are to prepare a listing of their internally controlled reports to use in conjunction with Appendix B, in determining their total reporting requirements.

3. A.I.D./W Bureaus and Offices are to maintain an inventory of their intraoffice reporting requirements and provide a copy to IRM/PE.

4L. Availability of Referenced Forms

The following A.I.D., Standard and Optional, Forms cited in this Chapter and attachments are available from the A.I.D./W Distribution Branch, SER/MO/PM/D:

AID 3-198 - Reports Approval Application
SF 360 - Request for Clearance of an Interagency Reporting Requirement
OF 101 - Summary Worksheet for Estimating Reporting Costs

SF 83, Request for OMB Review and SF 83A, Instructions for Requesting OMB Review Under Executive Order 12291 or Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320, are available from the Forms Management Office (IRM/PE).

ATTACHMENT 4A

INSTRUCTIONS FOR COMPLETING AID 3-198, REPORTS APPROVAL APPLICATION

Complete original and one copy. Forward with appropriate supporting documentation to IRM/PE.

Any item not listed below is considered to be self-explanatory and therefore, not included. Assistance in completing this form will be provided by IRM/PE upon request.

Item No.

1. Exact Title of Report - Enter a brief but descriptive title.

2. Report Control Symbol - If request is for a new report, IRM/PE will complete upon approval of the application. If request is for a revised report, enter the symbol previously assigned by IRM/PE

8. Date of Issuance - Enter date on which the report is ready for reproduction or distribution (e.g., a report covering the period March 1 through March 31 may be issued April 5).

11. Preparing Offices - Each of these may be identified by category, if appropriate (e.g., all Bureaus, all Missions, all LA Missions, A.I.D. contractors, etc.)

12. Recipients of Report

    A. Office - Each of these may be identified by category, if appropriate (e.g., all Bureaus, all Missions, all LA Missions, A.I.D. contractors, etc.)

    B. Action, C. Reference, D. Information - Enter the number of copies received in the column(s) which best describes the use made of this report.

    E. Distribution List - When recipients are identified by category, indicate the official A.I.D. Distribution List number, if applicable.

19. E. Estimated Production Cost - If the report is to be reproduced after completion, give the best estimate of cost, and indicate whether the reproduction will be done within A.I.D. or by an outside contractor.

Attachment 4A (continued)

21. Concurrences - The initiating office is responsible for obtaining clearances of any other offices directly concerned with the reporting requirement.

22. To be completed by IRM/PE

REPORT APPROVAL APPLICATION

INSTRUCTIONS: Submit in duplicate to the Report Management Office (IRM/PE). Attach a copy of the applicable directive and/or instructions, report format or proposed form, and the authorizing document. A copy will be returned to you indicating final action by IRM/PE. See Handbook 18, Chapter 4 for further instructions.

1. Exact Title of Report	2. Report Control Symbol

3. Type of Content	4. Requiring Directive/Instructions
☐ NARRATIVE ☐ STATISTICAL ☐ COMBINATION	

5. Request for *('X' appropriate box(es))*

☐ NEW ☐ TEMPORARY Proposed expiration date _____

☐ ONE-TIME Proposed expiration date _____

☐ REVISED *(explain what changes are proposed)*

6. Frequency *(daily, monthly, etc.)*	7. "As of" Date or Period Covered	8. Date of Issuance

9. Method of Transmission *(form no., airgram, memo, etc.)*	10. Is Data Processing Involved in the Preparation of this Report? ☐ YES ☐ NO

11. Preparing Offices *(indicate Missions, offices, etc. who submit this report)*	12. A. RECIPIENTS OF REPORT	PURPOSE *Enter number of copies for each as appropriate* B. ACTION	C. REF.	D. INFO	E. DISTRIBUTION LIST

13. Description of Data to be Reported

Source of Information Contained in this Report *(cite by no. and title other reports, data processing printouts, files, or other source documents from which this information is obtained)*

15. Related Form Number	16. OMB Approval Number	17. Interagency Report Number

18. If this Report is Used as a Source in Generating Other Report(s) in Whole or in Part, Cite Number and Title of Such Reports(s)

19. Cost Factors

A. Estimated persondays for preparation *(including related research)* for one report by one:

AID/W Office: Professional _____ Clerical _____

Mission: U.S. Professional _____ U.S. Clerical _____

Local Professional _____ Local Clerical _____

B. Number of offices and Missions preparing report _____

C. Average number of pages in one report submission _____

D. Number of copies of report produced _____

E. Estimated production cost *(including printing and distribution)* $_____ By: ☐ Contract ☐ AID

20. Justification: Include information as to how frequently and for what purpose the data elements in this report are used. Explain in detail how this report fits into the total system in question and at what stage of the program cycle the information is used *(e.g., programming, implementation, evaluation).*

21. APPROVALS

INITIATING OFFICE	TYPED NAME	INITIALS	DATE
CONCURRENCES			
22.			
REPORTS MANAGEMENT OFFICE	☐ Approved ☐ Approved for Period NTE ☐ Disapproved Comments		

Standard Form **83**
(Rev September 1983)

Request for OMB Review

Important

Read instructions before completing form. Do not use the same SF 83 to request both an Executive Order 12291 review and approval under the Paperwork Reduction Act.

Answer all questions in Part I. If this request is for review under E.O. 12291, complete Part II and sign the regulatory certification. If this request is for approval under the Paperwork Reduction Act and 5 CFR 1320, skip Part II, complete Part III and sign the paperwork certification.

Send three copies of this form, the material to be reviewed, and for paperwork—three copies of the supporting statement, to:

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

PART I.—Complete This Part for All Requests.

1. Department/agency and Bureau/office originating request

2. Agency code ___ ___ ___ ___

3. Name of person who can best answer questions regarding this request

Telephone number ( )

4. Title of information collection or rulemaking

5. Legal authority for information collection or rule *(cite United States Code, Public Law, or Executive Order)*

_____USC _____, or_____

6. Affected public *(check all that apply)*

1 ☐ Individuals or households
2 ☐ State or local governments
3 ☐ Farms
4 ☐ Businesses or other for-profit
5 ☐ Federal agencies or employees
6 ☐ Non-profit institutions
7 ☐ Small businesses or organizations

PART II.—Complete This Part Only if the Request is for OMB Review Under Executive Order 12291

7. Regulation Identifier Number (RIN)

___ ___ ___ ___ ___ ___ ___ ___ ___, or, None assigned ☐

8. Type of submission *(check one in each category)*

Classification
1 ☐ Major
2 ☐ Nonmajor

Stage of development
1 ☐ Proposed or draft
2 ☐ Final or interim final, with prior proposal
3 ☐ Final or interim final, without prior proposal

Type of review requested
1 ☐ Standard
2 ☐ Pending
3 ☐ Emergency
4 ☐ Statutory or judicial deadline

9. Part or section affected

_____CFR _____

10. Does this regulation contain reporting or recordkeeping requirements that require OMB approval under the Paperwork Reduction Act and 5 CFR 1320? . . . ☐ Yes ☐ No

11. If a major rule, is there a regulatory impact analysis attached? . . . 1 ☐ Yes 2 ☐ No
If "No," did OMB waive the analysis? . . . 3 ☐ Yes 4 ☐ No

Certification for Regulatory Submissions

In submitting this request for OMB review, the authorized regulatory contact and the program official certify that the requirements of E.O 12291 and any applicable policy directives have been complied with.

Signature of program official — Date

Signature of authorized regulatory contact — Date

12. ***(OMB use only)***

PART III.—Complete This Part Only if the Request is for Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320.

13. Abstract—Describe needs, uses and affected public in 50 words or less

14. Type of information collection *(check only one)*

Information collections not contained in rules

1 ☐ Regular submission

2 ☐ Emergency submission *(certification attached)*

Information collections contained in rules

3 ☐ Existing regulation *(no change proposed)*

4 ☐ Notice of proposed rulemaking (NPRM)

5 ☐ Final, NPRM was previously published

6 Final or interim final without prior NPRM

A ☐ Regular submission

B ☐ Emergency submission *(certification attached)*

7. Enter date of expected or actual Federal Register publication at this stage of rulemaking *(month, day, year)*: _____

15. Type of review requested *(check only one)*

1 ☐ New collection

2 ☐ Revision of a currently approved collection

3 ☐ Extension of the expiration date of a currently approved collection without any change in the substance or in the method of collection

4 ☐ Reinstatement of a previously approved collection for which approval has expired

5 ☐ Existing collection in use without an OMB control number

16. Agency report form number(s) *(include standard/optional form number(s))*

17. Annual reporting or disclosure burden

1 Number of respondents . . . . . _____

2 Number of responses per respondent . . . . . _____

3 Total annual responses *(line 1 times line 2)* . . . _____

4 Hours per response . . . . . _____

5 Total hours *(line 3 times line 4)* . . . . . _____

18. Annual recordkeeping burden

1 Number of recordkeepers . . . . . _____

2 Annual hours per recordkeeper. . . . . _____

3 Total recordkeeping hours *(line 1 times line 2)* . . _____

4 Recordkeeping retention period . . . . . _____ years

19. Total annual burden

1 Requested *(line 17-5 plus line 18-3)* . . . . . _____

2 In current OMB inventory . . . . . _____

3 Difference *(line 1 less line 2)* . . . . . _____

Explanation of difference

4 Program change . . . . . _____

5 Adjustment . . . . . _____

20. Current *(most recent)* OMB control number or comment number

21. Requested expiration date

22. Purpose of information collection *(check as many as apply)*

1 ☐ Application for benefits

2 ☐ Program evaluation

3 ☐ General purpose statistics

4 ☐ Regulatory or compliance

5 ☐ Program planning or management

6 ☐ Research

7 ☐ Audit

23. Frequency of recordkeeping or reporting *(check all that apply)*

1 ☐ Recordkeeping

Reporting

2 ☐ On occasion

3 ☐ Weekly

4 ☐ Monthly

5 ☐ Quarterly

6 ☐ Semi-annually

7 ☐ Annually

8 ☐ Biennially

9 ☐ Other *(describe)*: _____

24. Respondents' obligation to comply *(check the strongest obligation that applies)*

1 ☐ Voluntary

2 ☐ Required to obtain or retain a benefit

3 ☐ Mandatory

25. Are the respondents primarily educational agencies or institutions or is the primary purpose of the collection related to Federal education programs? ☐ Yes ☐ No

26. Does the agency use sampling to select respondents or does the agency recommend or prescribe the use of sampling or statistical analysis by respondents? . . . . . ☐ Yes ☐ No

27. Regulatory authority for the information collection

_____ CFR _____ ; or _____ FR _____ ; or, Other *(specify)*: _____

Paperwork Certification

In submitting this request for OMB approval, the agency head, the senior official or an authorized representative, certifies that the requirements of 5 CFR 1320, the Privacy Act, statistical standards or directives, and any other applicable information policy directives have been complied with.

Signature of program official	Date
Signature of agency head, the senior official or an authorized representative	Date

Standard Form 83A
(Revised September 1983)

Instructions for Standard Form 83

Request for OMB Review

Instructions for Requesting OMB Review Under Executive Order 12291 or Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320

General Instructions

For requests for review under E.O. 12291, complete Parts I and II of the SF 83, sign the Certification for Regulatory Submissions and send three copies of the completed SF and three copies of the draft regulation and three copies of any supporting material (including a Regulatory Impact Analysis if required) to OMB.

For requests for approval of a collection of information, complete Parts I and III (skip Part II), sign the Paperwork Certification and send three copies of the completed SF 83 and three copies of the supporting statement and forms, questions, or other instruments for which approval is requested, to OMB. The submission must include the revelant portion of any statute, regulation, handbook or other document that establishes a recordkeeping, reporting, or disclosure requirement, and copies of the notice submitted to the ***Federal Register*** informing the public that OMB approval is being sought. (This notice is not required for collections of information in proposed rules submitted for OMB review under 5 CFR 1320.13.)

OMB will not accept a submission unless all entries in Part I and, as appropriate, Part II or Part III are completed and the SF 83 has been properly signed. Submissions for E.O. 12291 review must be signed by the appropriate program official and by the official responsible for reviewing submissions of regulations to OMB (OMB's authorized regulatory contact) or that person's designee. Submissions for approval of a collection of information must be signed by the appropriate program official and by either the agency head, the Senior Official designated under the Paperwork Reduction Act and 5 CFR 1320.8, or that person's designee.

Requests should be submitted to:

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

Note: *Do not request review under E.O. 12291 and approval under the Paperwork Reduction Act and 5 CFR 1320 on the same SF 83.*

Instructions for Part I

1. Department/Agency and Bureau/Office Originating Request.—Provide both the name of the department or agency and the name of the bureau or office within the department which is issuing the regulation or proposing the collection of information.

2. Agency Code.—OMB has assigned a four digit numerical code to each agency and will supply it upon request.

3. and 4.—Self explanatory.

5. Specific legal authority.—Cite title and section of the United States Code. If a regulation or a collection of information is authorized by more than one statute or section, cite the principal legal authority.

If a regulation or a collection of information is mandated or authorized by a law which has not yet been codified into the United States Code, cite the Public Law number. If a regulation or a collection of information is authorized only by Executive Order, cite the E.O. number.

6. Affected Public.—Check all categories that apply. Note that if a significant effect on small business is predicted, the Regulatory Flexibility Act requires agencies to evaluate alternatives to mitigate this impact and 5 CFR 1320.6(h) requires agencies to take all practical steps to develop separate and simplified collection of information requirements for small businesses and other small entities. SBA's Office of Advocacy is available to assist agencies in evaluating the impact of their proposal on small business. OMB may ask for additional information on the specific industries affected (e.g., by Standard Industrial Classification) or other revelant data.

Instructions for Part II

General Instructions

Executive Order 12291 defines a regulation as any "agency statement of general applicability and future effect designed to implement, interpret, or prescribe law or policy, or describing the procedure or practice requirements of an agency." This includes more than proposed and final rules. Statements of policy that appear in the ***Federal Register*** as notices rather than rules, as well as guideline documents and policy statements that are not published in the ***Register,*** are to be submitted for OMB review if they set or interpret agency policy.

The following are not subject to OMB E.O. 12291 review:

a. Regulations issued by the—
- General Accounting Office,
- Federal Election Commission,
- Independent regulatory commissions as defined in 44 U.S.C. 3502(10),
- Facilities and laboratories owned by the Federal Government but operated by contractors, and
- Governments of the District of Columbia, and U.S. territories and possessions.

b. Regulations issued with respect to a military or foreign affairs function of the United States.

c. Regulations related to internal agency organization, management or personnel.

Specific Instructions

7. Regulation Identifier Number (RIN).—This is the number that the Regulatory Information Service Center assigns to a regulatory action when it is submitted for publication in the ***Unified Agenda of Federal Regulations.*** If a RIN has not been assigned to this regulatory action, check "None assigned."

8. Type of Submission (check one in each category).—

Classification

1. and 2.—Check "major" if the regulation is likely to result in:

- An annual effect on the economy of $100 million or more; or
- A major increase in costs or prices for consumers, individual industries, Federal, State, or local governments, or geographic regions; or
- Significant adverse effects on competition, employment, investment, productivity, innovation, or on the ability of the U.S. based enterprises to compete with foreign based enterprises in domestic or export markets.

Otherwise, check "nonmajor."

Stage of Development

Self explanatory for regulations issued through informal rulemaking.

A guideline document or other regulation which is not issued through informal rulemaking should be submitted as:

1. Proposed or draft.—If, following OMB review, the regulation will be circulated outside the agency for comment, and then revised and resubmitted to OMB.

2. Final or interim final, with prior proposal.—If an earlier version of the regulation had been reviewed by OMB, circulated for outside comment, revised, and is now ready for final issuance.

3. Final or interim final, without prior proposal.—If the regulation will proceed directly from internal agency review to OMB for review before final issuance without being circulated for outside comment and appropriate revision.

Type of Review Requested

1. Standard.—Refers to the normal process of submitting a proposed or final regulation to OMB for review under section 3 of E.O. 12291.

2. Pending.—Refers to OMB's review, under section 7 of E.O. 12291, of rules which were issued in final (or proposed) form before February 17, 1981, and which are about to take effect (or become final). Agencies should review section 7, paragraphs (b), (d), and (f) of the Executive Order for further instructions.

3. Emergency.—Refers to OMB's review, under section 8(a)(1) of E.O. 12291, of regulations which the agency has chosen to publish without prior OMB review in order to respond to an emergency situation.

4. Statutory or judicial deadline.—Refers to OMB's review, under section 8(a)(2) of E.O. 12291, of regulations which the agency has chosen to publish without prior OMB review in order to avoid violating a statutory or judicial deadline.

9. CFR Section Affected.—Cite as specifically as possible the section of the ***Code of Federal Regulations*** which will be affected by the regulation being submitted. If the regulation affects more than one section of the CFR, cite to the principal section affected. If the regulation is not to be published in the ***Federal Register*** or otherwise codified into the CFR (and therefore will not actually revise CFR text), cite the CFR section which is most closely related to the submission.

10. Self explanatory.

11. If a Major Rule, is There a Regulatory Impact Analysis Attached?—A regulatory impact analysis must accompany the submission of a major regulation unless OMB has waived the analysis.

12. (OMB USE ONLY)

Instructions for Part III

General Instructions

These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1980. If you have any questions, contact the OMB Desk Officer for your agency.

Specific Instructions

13. Abstract.—Provide a statement of not more than 50 words covering the agency's need for the information, the uses to which it will be put, and a brief description of the respondents.

14. Type of Information Collection.—Check only one category. If the collection of information is not explicitly set forth in a rule, check either 1 or 2. Regular submissions (1) are those which are reviewed under 5 CFR 1320.12. Emergency submissions (2) must include the certification required by 5 CFR 1320.17(a). In addition, agencies requesting emergency clearance must provide the information required by 1320.17(b) and (c). If the submission does not meet the requirements for an emergency clearance, the agency's Clearance Officer may ask the OMB Desk Officer for an expedited review.

If the collection of information is explicitly set forth in a rule, check one of the categories 3 through 6. If it is in an existing regulation to which no change is proposed, check 3. If it is submitted with a Notice of Proposed Rulemaking (NPRM) under 5 CFR 1320.13, check 4. If it is contained in a final regulation for which an NPRM had been published, check 5. If the collection of information is contained in a final or interim final rule for which an NPRM had not been published, check 6A or 6B. (See above for a discussion of material to be submitted with requests for emergency clearances.)

15. Type of Review Requested (check only one category).—

1. New.—If this collection of information has not previously been conducted or sponsored by the agency.

2. Revision.—If this collection of information is currently approved by OMB, and the agency wishes to make a substantive or material change in the collection, its burden estimate, or the use to which the information is to be put.

3. Extension.—If this collection of information is currently approved by OMB, and the agency wishes only to extend the approval past the currently assigned expiration date without making any other change in the collection of information or its burden estimate.

4. Reinstatement.—If this collection of information previously held OMB approval, but the approval has expired or was withdrawn before this submission was made.

5. Existing collection in use without an OMB control number.—If this collection of information is currently in use but does not have a currently valid OMB control number.

16. Agency Report Form Number(s).—Supply any identifying numbers or codes that the agency has assigned to the collection of information. If the instrument is a Standard or Optional Form, or is being proposed for such use, the submission to OMB by the agency must be through the General Services Administration (see 5 CFR 1320.15 for further information about this procedure).

17. and 18. Annual Reporting or Disclosure Burden, and Annual Recordkeeping Burden.—The definition of burden, and a discussion of burden elements, is contained in 5 CFR 1320.7(b). In general, burden includes, but is not limited to, the time required to:

- Read or hear any instructions;
- Generate the information;
- Process, compile, and review the information; and
- Record, disclose, or report the information.

The burden of making any required reports or disclosures should be reported at question 17 and should include the burden of keeping records necessitated by the disclosure or report. The burden of keeping any required records not necessitated by a disclosure or reporting requirement should be reported at question 18.

18-4.—If the recordkeeping retention period is not specified as a number of years - for example, if records are to be retained for the life of a given machine - enter a point estimate (not a range) at 18-4, and explain the estimate in the supporting statement.

For collections of information contained in ***new proposed rules,*** enter zero (0) on the SF 83 and describe the burden to be imposed, if the regulation becomes final, in the supporting statement. If the ***proposed rule revises*** an existing collection of information, enter the burden level for the existing requirement on the SF 83 and explain the burden impact of the revision in the supporting statement. In both cases, at the time of publication of the final regulation, the agency must inform OMB of the actual burden of the collection of information.

If several collections of information are submitted to OMB for approval in a single package (covered by an SF 83), describe the burden for each collection in the supporting statement, and provide an estimate of the burden for the entire submission at questions 17 and 18.

19. Total Annual Burden.—

1. Enter the sum of the annual reporting burden (17-5) and the annual recordkeeping burden (18-3) on this line.

2. Enter the burden (hours) currently approved by OMB for this collection of information.

- Enter zero (0) for any collection whose OMB approval has expired.
- Enter zero (0) for a new submission.

3. Enter the difference between 19-1 and 19-2 on this line. The difference, if any, must be explained at lines 19-4 and/or 19-5.

4. Program Change.—is a change in burden which is the result of deliberate action by the Government. Examples of program changes are:

- Adding, dropping, or changing questions.
- Changing the frequency of a collection of information.
- Requiring or requesting more, fewer, or different respondents to record, retain, disclose, or report information.
- Changing eligibility requirements for an assistance program in a way that changes the number of applicants or potential applicants for the benefit.

5. *Adjustment.*—is a change in burden ·h is not the result of deliberate agency n. Examples of adjustments are:

- Corrections of errors in burden estimates.
- Corrections of the record to provide an estimate of the burden for a collection of information currently in use without an OMB control number.
- Reestimates in burden due to factors outside the agency's control, such as population changes , a change in the number of firms in an industry, or a change in use because a different number of respondents decide to respond or to make use of the collection of information instrument.

. Current (or most recent) OMB trol Number or Comment mber.—If the collection of information had previously received or now has an OMB control number or comment number, enter the number. If the collection has had different numbers, or has had both a control number and a comment number, enter the number that was most recently assigned.

21. Requested Expiration Date.—Enter the month and year through which OMB approval is requested. The date should be no more than three years from the expected date of OMB approval. For "emergency" approvals submitted under the provisions of 5 CFR 1320.17 the requested date should not be more than ***90 days*** after the date of MB's receipt of the agency's submission.

. Purpose.—

1. *Application for benefits.*—Is a collection of information which a person completes in order to participate in, receive, or qualify for a grant, financial assistance, or other benefit (including employment) from a Federal agency or program.

2. *Program evaluation.*—Is a formal assessment, through objective measures and systematic analysis, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects. It is used to assist internal agency management and policy making.

3. *General purpose statistics.*—Are data collected chiefly for use by the public or for neral government use, without primary erence to the policy or program perations of the agency collecting the data. This category should also be used to indicate activities required to design, manage, or evaluate general purpose statistical programs.

4. *Regulatory or compliance.*—Are collections of information undertaken for the purpose of measuring or enforcing compliance with laws or regulations. The category includes collections of information incidental to regulation, such as applications for waiver and exemptions. Applications for licenses, certificates, and the like, are also included in this category.

5. *Program planning or management.*—*Includes all collections of information (other than program evaluation and audits) relating to progress reporting and grants management, financial and supply management, procurement and quality control, and other collections of administrative information that do not fit in any other category. This category also includes surveys and other collections of information used to develop new regulations or to review existing regulations.*

6. *Research.*—Refers to collections of information to further the course of scientific or medical research, rather than for a specific program purpose.

7. *Audits.*—Refers to collections of information conducted for the purpose of verifying the accuracy of accounts and records.

23. Frequency of Recordkeeping or Reporting.—

1.—If the collection of information request or requirement explicitly includes a recordkeeping requirement, check this item. If the collection of information also includes a disclosure or reporting component, check the appropriate item 2 through 9.

2 *through 9.*—For collections of information that involve reporting, check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, check "on occasion" (item 2). Also check item 2 for all disclosure requirements.

24. Respondent's Obligation to Reply.—

1. *Voluntary.*—Means that response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.

2. *Required to obtain or retain a benefit.*—Means that the response is elective, but is required to obtain or retain a benefit. This includes licensing and permit requirements.

3. *Mandatory.*—Means that the respondent must reply or face civil or criminal sanctions. OMB will recognize a collection of information as being mandatory only if a statute expressly:

- Requires respondents to provide the information, or
- Authorizes an agency to require the respondents to provide the information.

If more than one status applies (for example, the first page of a form is mandatory but the second page is optional), check the box which corresponds to the strongest obligation to respond. (Mandatory is the strongest obligation, and voluntary is the weakest.)

25. Self explanatory.

26. Does the Agency Use Sampling to Select Respondents or Does the Agency Recommend or Prescribe the Use of Sampling or Statistical Analysis by Respondents?—Check "Yes" if information is collected from a subset of all potential respondents on the basis of a selection made by the agency, and the results are used to infer the characteristics of the whole from the sample. Also check "Yes" if the respondents are asked or required to use similar sampling or other statistical techniques in generating or collecting the information requested or required by this collection.

27. Regulatory Authority for the Information Collection.—If the regulatory authority is contained in an existing regulation, cite as specifically as possible to the principal section of the ***Code of Federal Regulations*** which states the requirement. If the requirement is contained in a regulation that has not yet been codified into the CFR, cite the final rule and provide the date it appeared in the ***Federal Register.***

A supporting statement, as described on page 4, must accompany each request for approval of a collection of information.

Supporting Statement for Requests for OMB Approval Under the Paperwork Reduction Act and 5 CFR 1320

General Instructions

A supporting statement must accompany each request for approval of a collection of information. The statement must be prepared in the format described below, and all statements must contain the information specified in Section A below . If an item is not applicable, provide a brief explanation. If Section B does not apply, indicate that the collection does not employ statistical methods.

OMB reserves the right to require the submission of additional information with respect to any request for approval.

Specific Instructions

A. Justification.—Requests for approval shall:

1. Explain the circumstances that make the collection of information neccessary. Include identification of any legal or administrative requirements that necessitate the collection.

A copy of the appropriate section of each statute and of each regulation mandating or authorizing the collection of information should be attached to the supporting statement.

2. Indicate how, by whom, and for what purpose the information is to be used and the consequence to Federal program or policy activities if the collection of information was not conducted.

3. Describe any consideration of the use of improved information technology to reduce burden and any technical or legal obstacles to reducing burden.

4. Describe efforts to identify duplication.

5. Show specifically why any similar information already available cannot be used or modified for use for the purpose(s) described in 2.

6. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.

7. Describe the consequence to Federal program or policy activities if the collection were conducted less frequently.

8. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with the guidelines in 5 CFR 1320.6.

9. Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

Consultation with representatives of those from whom information is to be obtained, or those who must compile records, should occur at least once every three years -- even if the collection of information activity is the same as in prior periods. There may be circumstances that mitigate against consultation in a specific situation. These circumstances should be explained in the supporting statement.

In the supporting statement, provide:

a. The names and telephone numbers of those consulted and the year in which the consultation took place. Indicate the agencies, companies, State or local governments, or other organizations represented by those consulted.

b. A summary of any major problems that could not be resolved during consultation.

c. A description of other public contacts and opportunities for public comment, and a summary of the comments received.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

12. Provide estimates of annualized cost to the Federal Government and to the respondents. Also provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without the paperwork burden.

13. Provide estimates of the burden of the collection of information. The statement should:

- Provide number of respondents, frequency of response, annual burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not make special surveys to obtain information on which to base burden estimates. Consultation with a few potential respondents is desirable. If the burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated burden, and explain the reasons for the variance.
- If the request for approval is for more than one form, provide burden estimates for each form for which approval is sought and summarize the burdens on the SF 83. If only one form is submitted, you need not duplicate the information entered on the SF 83.
- If the proposed collection of information was not included in the agency's Information Collection Budget (ICB) or if the burden shown on the SF 83 is different from that in the ICB, explain the difference.

14. Explain reasons for changes in burden, including the need for any increase.

15. For collections of information whose results are planned to be published for statistical use, outline plans for tabulation, statistical analysis, and publication. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

B. Collections of Information Employing Statistical Methods.—Descriptions of collections of information submitted for approval that employ statistical methods shall contain the following information. References to stratification may be ignored if that technique is not used.

If the collection of information does not employ statistical methods, so indicate.

If the collection employs statistical methods:

1. Describe (including numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. The tabulation should also indicate expected response rates for the collection as a whole. If the collection had been conducted previously, the actual response rate achieved during the last collection should be noted.

2. Describe the procedures for the collection of information including:

- Statistical methodology for stratification and sample selection,
- Estimation procedure,
- Degree of accuracy needed for the purpose described in the justification,
- Unusual problems requiring specialized sampling procedures, and
- Any use of periodic (less frequent than annual) data collection cycles to reduce burden.

3. Describe methods to maximize response rates, and to deal with issues of nonresponse. The accuracy and reliability of information collected must be shown to be adequate for intended uses.

For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.

4. Describe any tests of procedures or methods to be undertaken.

Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from ten or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.

5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

ATTACHMENT 4C(1)

INSTRUCTIONS FOR COMPLETING STANDARD FORM 360

"REQUEST FOR CLEARANCE OF AN INTERAGENCY REPORTING REQUIREMENT"

I. Instructions for Completing SF 360

A. Complete original and two copies. Forward with appropriate supporting documentation to IRM/PE.

B. General Instructions

Any item not listed below is considered to be self-explanatory and therefore not included. Assistance in completing this form will be provided by IRM/PE upon request.

Item 1 - To be completed by GSA upon approval of the interagency reporting requirement. The Interagency Report Control Number assigned by GSA is to be included in the prescribing directive and appear in the upper right-hand corner of the reporting form or format.

Item 2 - Leave blank. To be completed by IRM/PE.

Item 5 - To be completed for revisions and extensions only. Leave blank if request is for a new reporting requirement.

Item 9 - Enter the summary of estimated reporting costs identified in compliance with the requirement contained in IIC1, if request is for new or revised reporting requirement. Leave blank if request is for approval of a waiver.

Item 10 - Leave blank. To be completed by IRM/PE.

Item 11 - Leave blank. To be completed by GSA.

Item 12 - Leave blank. To be completed by GSA.

II. Instructions for Preparation of Supporting Documentation

A. Justification

Justify each reporting requirement in terms of its value to management. Evaluate the development, operational, and user costs of a report in terms of increased productivity, more timely service, better quality in output, or reduced costs.

II

B. Directive

Include the following information in the directive prescribing the reporting requirement: purpose of requirement, report title, GSA approval number, report form or format, preparation instructions, responding agencies, frequency, number of copies, routing, due date, and whether negative reports are required.

C. Identification of Reporting Costs

1. Requests for clearance of a new report or the major revision of an existing report are to contain an estimate of the reporting costs related to it, unless the requirement is waived in accordance with paragraph C2 below. Compute the cost of establishing the new or modified reporting system (developmental costs), the annual cost of operating the reporting system (operational costs), and the annual cost of using the reporting system (user costs), and enter totals in Item 9 (Summary of Estimated Reporting Costs) of SF 360. Keep supporting documentation and worksheets available for Review by IRM/PE and GSA. A sample Summary Worksheet for Estimating Reporting Costs, Optional Form 101 and GSA Guidelines to Estimating Reporting Costs are contained in Attachment D. Attachment D is to be used to the extent applicable until a costing guide is developed for A.I.D.

2. Submission of complete justification for cost effectiveness may be waived when, in the judgement of GSA, it is in the interest of the Government to do so. When providing the reason for the waiver request, submit a letter instead of the justification statement, with SF 360, excluding Item 9. If a request for waiver is denied, the justification statement is to be prepared for regular clearance of the reporting requirement.

D. Agency Sampling

If a reporting system involves a number of responding agencies, IRM/PE and GSA jointly determine what sampling of potential responding agencies is necessary to provide an adequate appraisal of the workload and cost of a proposed reporting requirement.

REQUEST FOR CLEARANCE OF AN INTERAGENCY REPORTING REQUIREMENT

1. FOR GSA USE

a. Interagency Report Control No.

b. Currently assigned expiration date:

INSTRUCTIONS

Submit original and one copy together with one copy each of the proposed report, supporting directive and justification statement to GSA, NARS, Office of Records Management. See FPMR (CFR 41) 101–11.11 for further instructions.

2. NAME, ADDRESS AND ZIP CODE OF REQUESTING AGENCY

3. TITLE OF PROPOSED REPORTING REQUIREMENT

4. TYPE OF REQUEST

a. ☐ NEW
b. ☐ REVISION
c. ☐ EXTENSION (*No change*)
d. ☐ WAIVER

5. FREQUENCY OF USE

a. ☐ SINGLE TIME
b. ☐ ON OCCASION
c. ☐ WEEKLY
d. ☐ MONTHLY
e. ☐ QUARTERLY
f. ☐ SEMI-ANNUALLY
g. ☐ ANNUALLY
h. ☐ OTHER (*Specify*)

6. REVISIONS AND EXTENSIONS

a. Currently assigned Interagency Report Control No.

b. Currently assigned expiration date:

7. CANCELED OR MODIFIED REPORTS OR FORMS (*List by title and Interagency Report Control or OMB Approval Number any Reports and Forms to be canceled or modified by this Interagency Report*)

8. SUMMARY OF ESTIMATED REPORTING WORKLOAD

a. Number of responding agencies

b. Number of times this report submitted annually by each responding agency

c. Total number of reports submitted annually (a X b)

(*Items d and e apply to Interagency Public Reports only*)

d. Average number of man-hours required to prepare and transmit one report

e. Total number of man-hours required to prepare and transmit reports annually (c X d)

9. SUMMARY OF ESTIMATED REPORTING COSTS	REQUIRING AGENCY (*Col. 1*)	RESPONDING AGENCIES (*Col. 2*)	TOTAL (*Col. 1+2*)
Developmental costs	$	$	$
b. Annual operational costs	XXXXXXXXX	$	$
c. Annual user costs	$	XXXXXXXXX	$

10. SIGNATURE OF INTERAGENCY REPORTS COORDINATOR

DATE

FOR GSA USE

1. DISPOSITION OF REQUEST BY GSA, NARS, OFFICE OF RECORDS MANAGEMENT

a. ☐ APPROVED
b. ☐ DISAPPROVED (*See attachment*)
☐ RECOMMENDED MODIFICATION (*See attachment*)

REMARKS

2. SIGNATURE OF INTERAGENCY REPORTS MANAGEMENT OFFICER

DATE

GSA GUIDE TO ESTIMATING REPORTING COSTS

CONTENTS

Subject	Page
Introduction	1
Factors Involved In Reporting	2
Accuracy of Cost Estimated	5
Costs To Include In the Estimates	6
Costs To Exclude From the Estimates	7
Shortcuts For Estimating Reporting Costs	8
Estimating the Cost of a Reporting System	11

DECEMBER, 1973
GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE
OFFICE OF RECORDS MANAGEMENT

INTRODUCTION

Office of Management and Budget 5 CFR 1320, on the subject of Controlling Paperwork Bureaus on the Public contains a provision that the General Services Administration will "issue standard costing criteria defining what must be included in cost estimates and how they are to be developed." This guide is issued in compliance with that provision. It is applicable to interagency and internal reporting as defined in 5 CFR 1320.

It is the purpose of this guide to assure that adequate cost estimates are developed. The degree of accuracy sought in a given cost estimate may vary with the general magnitude of the reporting requirement. Shortcuts may be used to make an estimate consistent with the desired degree of accuracy.

FACTORS INVOLVED IN REPORTING

In order to facilitate the gathering of information necessary to implement 5 CFR 1320, costs have been separated into three categories: developmental, operational, and user costs.

The factors outlined below provide a basic checklist for costing either a manual or an automated individual report or reporting system. All of these factors may not apply in any given cost study, and there may be additional factors applicable to a specific costing situation.

A. Developmental Costs. Developmental costs result from those activities necessary for establishing a new reporting requirement or modifying an existing reporting requirement. Developmental costs include:

1. Specification of reporting requirement -- those activities preliminary to and including the basic working agreement between the organizational components involved with the reporting system design project, including:

   a. Determining the specific need.

   b. Identifying the scope and objectives of the reporting system.

   c. Appraising the impact on planned and existing operating systems, considering interface with existing reporting systems, and determining benefits to be derived from the existing system.

   d. Developing a working agreement between organizational components which will be involved with designing the reporting system.

2. Analysis of reporting requirement -- the determining of the information to be provided by the reporting system, including:

   a. Certifying to satisfaction of need.

   b. Discussing and determining needed information.

   c. Selecting available or appropriate data sources, media, and processing requirements.

   d. Developing reporting system output requirements and specifications.

3. Design of reporting system -- the preparation of the written description of the proposed system.

   a. Determining needed processing of input documents.

b. Developing input and output documents, to include standard data elements where applicable.

c. Establishing data file and related documentation.

4. Installation of reporting system -- the conversion of the written plan to an operable on-going reporting system, including:

a. Programming and debugging computer-oriented reporting systems.

b. Acquiring and installing new equipment or modifying existing equipment.

c. Developing, writing, and issuing implementing directive and other instructions.

d. Scheduling and performing tests of reporting system during installation.

e. Scheduling and conducting training and orientation.

f. Preparing site (data processing installation).

B. Operational Costs. Operational costs result from those continuing activities necessary to prepare and transmit a report. Operational costs include:

1. Data collection -- the activity necessary to record the event and make data available at some other location or time, including:

a. Assembling and recording source data by the various preparing units.

b. Controlling the accuracy of source data.

c. Forwarding source data to a processing unit.

d. Storing source data for future reference.

2. Data processing -- the manipulation of data into the desired structure or format for evaluation and analysis.

a. Receiving, controlling, and editing source documents at the processing unit.

b. Summarizing source data and converting data to machine readable data.

c. Updating the data base file.

d. Extracting and compiling data for the desired report media or format.

e. Posting data to worksheets and developing narrative, ststistical, or graphic displays.

3. Data transmission, including reproduction and distribution of completed reports from processing units.

C. User Costs. User costs result from those normal activities performed by the requiring office on the transmitted information. User costs include:

1. Refining, interpreting, and analyzing information received.

2. Reading, reviewing, discussing, and documenting information presented (e.g., hard copy report, briefing session, remote terminal response).

ACCURACY OF COST ESTIMATES

The importance of the cost estimate to management decision-making will have a direct bearing on the degree of accuracy that needs to be sought in the estimating. Management normally is more concerned with accuracy of estimates in the case of a high-cost, recurring report than in the case of a relatively inexpensive, one-time report. When the benefits of a report are not clearly and substantially beyond the probable costs, greater precision is necessary in order to permit a valid cost effectiveness evaluation.

Use of cost data developed by an agency reflecting the unique characteristics of its own operations generally will result in a more accurate estimate than can be obtained using other data, e.g., government-wide average costs.

COSTS TO INCLUDE IN THE ESTIMATES

Estimates of reporting costs should include the costs of all resources required for the particular reporting system being estimated, including contract costs. Developmental, operational, and user costs include the following: direct personnel costs, direct material costs, direct equipment costs, and other direct costs. In addition, an appropriate allowance for overhead costs (supervision, space, and administrative support) should be included in estimates of developmental, operational, and user costs.

Estimates of the developmental, operational, and user costs of a report should reflect a costing of the total resources required for the report rather than a costing of the net additional resources required for the report. If a new reporting requirement is being estimated which will replace an existing reporting requirement, estimated savings from the replacement should not be used to reduce the estimated cost of the new equirement.

Estimates of direct personnel costs should include the salary cost of an employee's non-productive time, such as sick and annual leave, as well as his productive time. The estimates should also include the contributions of the Government to insurance and retirement plans. Formuals to accomplish this are given in the section of this guide titled "Shortcuts for Estimating Reporting Costs."

Estimates of the equipment costs of a reporting system normally should be based on a pro-rated share with other uses made of the equipment. The cost pro-rated, in the case of purchased equipment, should stem from an amortization of total purchase costs over some realistic calendar period.

COSTS TO EXCLUDE FROM THE ESTIMATES

There are two kinds of costs that should be excluded when estimating the costs of a particular report:

A. Exclusion of the Costs of Independent Reports. If a reporting requirement uses a feeder report as input, and if the feeder report is an independent report which would continue if the reporting requirement being estimated did not exist, the cost of the feeder report should be excluded from the estimated costs of the reporting requirement. However, if the feeder report is modified to serve as input to the reporting requirement, then the developmental and operational costs resulting from the modification of the feeder report should be included in the estimated costs of the reporting requirement.

The latter situation can arise, for example, in the case of an interagency reporting requirement. The responding agency may need to make major or minor modifications to an existing report or reporting system in order to prepare and submit the required interagency report. Only the additional reporting costs resulting from the required modifications should be included in the estimated costs of the interagency report.

B. Exclusion of Non-Reporting Costs. Costs which are an integral part of an organization's functions and operations that would continue if reporting did not exist should be excluded from estimates of reporting costs, even though the reporting relies heavily upon or could not exist without such functions and operations. For example, a reporting system which is dependent upon data used in the preparation of payrolls should not be charged with the cost of data needed to produce the payroll nor by-products of the payroll system such as payroll control registers.

SHORTCUTS FOR ESTIMATING REPORTING COSTS

Agencies will want to develop shortcuts, based on their own experience and data, to be used in estimating reporting costs consistent with the degree of accuracy required in their estimates.

The following are examples of the kinds of shortcuts that an agency may develop for general use in estimating reporting costs:

A. Agency Sampling. Consistent with the spirit and intent of 5 CFR 1320, the expenses incurred in developing new reporting systems should be minimized; therefore, if a reporting system will involve a number of organizational units, it is not usually necessary to obtain cost data from each responding unit. A sampling may be made and projected in keeping with accepted sampling methods.

In the case of interagency reporting requirements, a satisfactory base on which to project will be determined jointly by the Office of Office Information Systems, Office of Information Resources Management, GSA and the Interagency Reports Coordinator.

B. Standard Annual Salary and Benefit Rates. The standard annual salary and benefits rate is derived in two steps:

1. First, a weighted average is obtained, over a period of time, of the annual salaries of some category of personnel.

2. Secondly, the weighted average is increased by a percentage factor which reflects the costs to the Government of insurance and retirement plans.

The standard annual salary and benefit rate is extremely useful in computing the estimated direct personnel costs of a report. Standard annual salary and benefit rates may be developed by an agency for computing a variety of categories of direct personnel costs:

1. Developmental costs.

2. Operational costs.

3. User costs.

4. ADP costs.

5. Other categories of direct personnel costs (reporting personnel of an organization, program, function, profession, etc.).

A standard annual salary and benefits rate is useful in computing estimated direct personnel costs from estimated payroll man-years. (Payroll man-years are the time required to do a job -- including both productive [on-the-job]

time and non-productive [away-from-the-job] time. Non-productive time is comprised of holidays, annual and sick leave, administrative leave, and daily lost time [rest periods and other].)

Estimated Payroll Man-Years Required		Hypothetical Standard Annual Salary And Benefit Rate		Estimated Direct Personnel Costs - Rounded
(5.57)	x	($15,000)	=	($85,000)

C. Standard Hourly Rates. Standard hourly rates are derived from standard annual salary and benefit rates for use in computing estimated direct personnel costs. Standard hourly rates are of two types.

1. Standard Hourly Rates for Computing Direct Personnel Costs from Estimated Payroll Man-Hours. In some situations, estimates of man-hours required include provision for both the productive and non-productive time of an employee. (Non-productive time is defined in B. above.) Man-hours so estimated are apyroll man-hours.

a.

Hypothetical Standard Annual Salary And Benefit Rate		Number of Payroll Man-Hours in An Employee Year		Hypothetical Standard Hourly Rate for Pricing Payroll Man-Hours
($15,000)	-	(2,080)	=	($7.21)

b.

Estimated Payroll Man-Hours Required		Hypothetical Standard Hourly Rate		Estimated Direct Personnel Costs - Rounded
(11,794)	x	($7.21)	=	($85,000)

2. Standard Hourly Rates for Computing Direct Personnel Costs from Estimated Productive Man-Hours. In some situations, a man-hour requirement is estimated in terms of the time required to do the job with no allowance for non-productive time. Man-hours so estimated are productive man-hours.

a.

Hypothetical Standard Annual Salary And Benefit Rate		Number of Productive Man-Hours In An Employee Year		Hypothetical Standard Hourly Rate for Pricing Productive Man-Hours
($15,000)	-	(1,532)	=	($9.79)

b.

Estimated Productive Man-Hours Required		Hypothetical Standard Hourly Rate		Estimated Direct Personnel Costs - Rounded
(8,686)	x	($9.79)	=	($85,000)

The number "1532" may be used in the first equation above or an agency may substitute its own number. The number "1532" is based on the assumption that the 2080 work hours of a year will be spent as follows by the average Federal employee:

Work Hours Per Year		2080
Non-Productive Hours Per year		
Holidays (9 days x 8 hours)	72.0	
Annual Leave (21.2 days x 8 hours)	169.6	
Sick Leave (9.6 days x 8 hours)	76.8	
Administrative Leave (1.3 days x 8 hours)	10.4	
Daily Lost Time (219 days x 1 hour)	219.0	- 548 (rounded)
Productive Hours Per Year		1532

D. Overhead Rate. One way to compute the overhead portion of estimated reporting costs is:

Estimated Direct Personnel Costs		Hypothetical Overhead Rate		Estimated Overhead Costs - Rounded
($85,000)	x	(25%)	=	($21,000)

In the above formula, "Estimated Direct Personnel Costs" includes full salary costs (non-productive as well as productive time) and the cost to the Government of insurance and retirement plans. "Hypothetical Overhead Rate" includes the costs of supervision, space, and administrative support.

Agencies should develop their own overhead rates for the costing of reports based on agency cost experience. In the event that no such rate has yet been developed, an overhead rate of 25 per cent may be used in the above formula to estimate overhead costs.

ESTIMATING THE COST OF A REPORTING SYSTEM

This guide has set forth minimum requirements for the development of satisfactory cost estimates. The exact methodology employed may vary to fit agency needs and preferences.

Summary Worksheet

To simplify and standardize the collection, correlation, and summation of data, some forms or worksheets are needed. One such tool might be similar to that shown as Figure 1, Sample of a Summary Worksheet for Estimates of Reporting Costs.

Perhaps the principal advantage of this form is that it ensures that none of the significant activities in the development, operation, or use of a reporting system are overlooked, and that for each activity consideration is given to personnel, overhead, equipment, material, or any other costs. It also provides a simple way of summarizing the data.

If this worksheet were used in costing an interagency reporting system as prescribed by Federal Property and Management Regulations (FPMR 101-11.11), items 5, 10, and 14 of the worksheet would provide the cost data to be entered as items 9a, b, and c of Standard Form 360, Request for Clearance of an Interagency Reporting Requirement. Actually, two summary worksheets would be necessary, one for the costs to the "requiring" agency and a second to summarize the costs to the "responding" agencies.

Retention of Documentation

Obviously, the summary worksheet must be supported by working apapers which show the detailed computations of the estimate and the source and basis of data used in the computations. The summary worksheet and supporting papers should be retained until the cost of the reporting system is estimated again at a later date, ordinarily at no longer intervals then three years.

Summary of Minimum Requirements

Any forms, methods, or shortcuts which agencies may devise are likely to provide for adequate cost date if they measure up to the following standard:

1. Developmental, operational, and user costs and related reporting activities are considered.

2. Accepted sampling methods are used.

3. The full range of resources expended in reporting -- personnel, overhead, material, equipment, and others -- are included in estimates of reporting costs.

SAMPLE OF A COMPLETED SUMMARY WORKSHEET FOR ESTIMATES OF REPORTING COSTS

Report Symbol	Report Title	Estimate Prepared By	Date
132	XYZ Report	John Doe	3-17-73

FACTORS		COSTS ($)					
Reporting Categories	Reporting Activities	Direct Personnel a	Overhead (25% of Col. a) b	Direct Equipment c	Direct Material d	Other Direct Costs e	Total (a+b+c+d+e) f
DEVELOP-MENTAL COSTS	1. Specification of Reporting Requirement	2,000	500				2,500
	2. Analysis of Reporting Requirement	5,000	1,250				6,250
	3. Design of Reporting System	60,000	15,000			7,750	82,750
	4. Installation of Reporting System	18,000	4,500	4,000	1,000		27,500
	5. DEVELOPMENTAL COSTS						= 119,000
OPERA-TIONAL COSTS	6. Data Collection	8,000	2,000	2,000	1,000		13,000
	7. Data Processing	15,000	3,750	5,000	750		24,500
	8. Data Transmission	2,000	500		750		3,250
	9. Operational Costs For One Report						= 40,750
	10. ANNUAL OPERATIONAL COSTS -- ($40,750) (6 [Frequency Per Year])						= 244,500
USER COSTS	11. Refining, Interpreting and Analyzing Information Received	2,000	500				2,500
	12. Reading, Reviewing Discussing and Documenting Information Presented	5,000	1,250				6,250
	13. User Costs For One Report						= 8,750
	14. ANNUAL USER COSTS -- ($8,750) (6)						= 52,500

Figure 1

CHAPTER 5

FORMS MANAGEMENT SERVICES

5A. Introduction

This chapter prescribes responsibilities and procedures for the operation of the AID Forms Management Program. It is AID's policy, implemented by the Office of Administrative Services, Information Support Services Division, Records Management Branch, (FA/AS/ISS/RM) to provide for continuing and systematic management of all forms used by the Agency to ensure that they contribute to AID's operational effectiveness.

5B. Applicable External Regulations

1. Federal Information Resources Management Regulation (FIRMR), Subpart 201-45.104 Forms - Agency Program Responsibilities

FIRMR, Subpart 201-45.104-3 prescribes that each Federal agency, in providing for effective control over the creation of records, is expected to establish an appropriate program for the management of agency forms.

2. Paperwork Reduction Act of 1980

The Paperwork Reduction Act of 1980 provides that no Federal agency shall conduct or sponsor the collection of identical items of information on a form from ten or more persons, other than Federal employees, without the prior approval of the Office of Management and Budget (OMB). The intent of the Congress in adopting this Act is to minimize the burden of obtaining information from business enterprises and to maximize the usefulness of information obtained from other Federal agencies and the public, as well as the collecting agency. Regulation 5 CFR 1320, Controlling Paperwork Burdens on the Public implements this legislation and prescribes the requirements for the review and clearance of forms proposed by Federal Government agencies in the collection of information. (See Part V, Chapter 4 of this handbook, for procedures covering submission of requests for OMB clearance of public use forms.)

3. Federal Information Resources Management Regulation (FIRMR), Subpart 201-45.6 Interagency Reports Management

FIRMR, Subpart 201-45.6 implements the Interagency Reports Management Program. This regulation states that information transmitted to a department or agency from one or more other departments or agencies is subject to the provisions of the Federal Reports Act of 1973. This regulation applies to any AID form which is used to gather information from other Federal agencies. (See Part V, Chapter 4 of this handbook, for procedures covering submission of interagency reporting requirements.)

5B

4. Metric Conversion Policy for Federal Agencies
15 CFR Part 19 (Subpart B)

Federal agencies shall coordinate and plan for use of the metric system in their procurements, grants and other business-related activities consistent with the requirements of the Metric Conversion Act, as amended. Federal Agencies shall encourage and support an environment which will facilitate the transition process.

5C. Program Objectives

The objectives of the AID Forms Management Program, administered by the Bureau for Finance and Administration, Office of Administrative Services, Information Support Services Division, Records Management Branch (FA/AS/ISS/RM) are:

1. To increase the usefulness of forms as administrative tools through standardization, simplification, and the application of acceptable forms design standards;

2. To achieve savings in all areas of Agency operations by periodic review of information requirements, eliminating nonessential or duplicate forms and consolidating similar or related forms and procedures;

3. To minimize personnel costs associated with the preparation, use, or filing of forms; and

4. To provide staff assistance and technical advice to managers concerned with the development and use of forms, ensuring that established forms fulfill data collection, transmission, and summarization requirements.

5D. Definitions

1. General Definitions

Forms are preprinted documents with space for filling in information. Forms that are to be used on a recurring basis are assigned an AID form number. Certain printed materials, such as standard contract provisions, instructions, tags and labels are also assigned form numbers to identify them for purposes of reference, printing, stocking, distribution, or use with other forms. Forms fall into the following categories:

5D1

a. New forms are proposed forms which are to be assigned a number in the AID forms series and established for use.

b. Revised forms are forms which have previously been assigned an AID forms control number and a change or modification is being requested.

c. Cancelled forms are forms which are cancelled or superseded because they are no longer needed, the procedures have changed, or two or more forms have been combined.

d. Reinstated forms are forms which have been cancelled, but are found to still be needed.

e. One-time forms are preprinted documents necessary to collect or record information systematically for a limited time only and which become obsolete upon completion of the project. These forms ordinarily have a specified expiration date and are not assigned a form number.

f. Trial forms are proposed forms which are tested to determine their usefulness. These forms are used for a limited time only and are given an expiration date. They are not assigned a form number.

2. Categories of Forms Used By AID

a. AID forms are those forms initiated by AID. AID forms fall in the following categories:

(1) Agency-wide forms are those forms, including automatic data processing forms, which are either (a) completed and transmitted by more than one Office, Bureau, or Mission, or (b) submitted to an AID Office, Bureau, or Mission by other U.S. Government agencies, private contractors, banks, suppliers, voluntary agencies, cooperating countries, or the general public.

(2) Intra-office forms are those forms used only within a single organizational unit of AID/W.

b. Standard (SF) and Optional Forms (OF) are forms used Government-wide for common functions.

c. Joint Forms (JF) are forms required and used jointly by State/AID/USIA.

5D2

d. Department of State Forms are forms initiated by the Department of State and used by AID. These forms are categorized as follows:

(1) DS forms are used by all Department of State Offices and AID.

(2) FS forms are used for the Foreign Services Personnel System.

(3) DSL forms are Department of State Form Letters.

(4) DSP forms are Department of State Public Data Forms used to gather information from the public.

e. Formats are prescribed or suggested layouts for reporting or recordkeeping purposes which are not printed and, therefore, do not carry form numbers. When a format is included in a handbook, or communication requiring or recommending a procedure, it is to be labeled "SAMPLE FORMAT" so that it will not be mistaken for a printed form. Reports using formats are subject to approval by IRM/PE which determines whether or not they are to be controlled under the Agency Reports Management System, Chapter 4 of this handbook. If so, each format will be assigned a Report Symbol and this symbol must appear in the upper right hand corner of the format.

3. Requiring Office is the office which prescribes the use of a particular AID form and other non-AID forms used by AID.

4. Using Office is the office which uses a form prescribed by requiring offices.

5. Printing in the context of this chapter refers to the processes usually employed in reproducing printed material, e.g., direct-image offset, photo offset, and letterpress. See Handbook 20, Office Services, Chapter 1, for AID/W capabilities for performing such work and a discussion of the advantages and limitations of the various printing and reproduction methods.

5E. Responsibilities

1. FA/AS/ISS/RM

FA/AS/ISS/RM is responsible for the AID forms management program, a responsibility that includes, but is not limited to:

E1

a. Providing guidance and assistance to AID personnel in the analysis and development of new or revised forms:

b. Coordinating the forms management program with both the reports and the codes programs;

c. Providing forms design and construction assistance and guidance to assure a logical and efficient format;

d. Maintaining a file for each approved form used in AID;

e. Conducting an annual survey to maintain an accurate, up-to-date forms inventory catalog;

f. Determining whether OMB or GSA approval is required on a proposed form and coordinating the approval process. (See Part V, Chapter 4 of this Handbook, for OMB and GSA clearance procedures);

g. Ensuring that each form used in AID is supported by a proper directive and/or instruction;

h. Ensuring that all forms covered by the Privacy Act of 1974 have appropriate language appearing on the form. (See Part III, Chapter 12 of this Handbook for guidance.);

i. Reviewing the reorder of forms to ensure currency and adequacy in meeting needs and usage patterns to determine appropriate stock levels before approval.

j. Approving all new and revised AID forms and assigning AID form numbers.

2. <u>AID/W Requiring Offices</u>

AID/W offices requiring the use of forms are responsible for:

a. Submitting all new and revised forms to FA/AS/ISS/RM for review and clearance. (See Section 5G of this chapter for instructions on how to submit forms for review and clearance.)

b. Submitting to FA/AS/ISS/RM all requests for approval of public-use AID forms used to solicit information from other U.S. Government agencies. (See Part V, Chapter 4 of this Handbook.)

5E2

c. Submitting to FA/AS/ISS/RM all printing requisitions for reordering forms stocked by requiring office.

d. Submitting all request to cancel or supersede an AID form to FA/AS/ISS/RM using form AID 3-1, Forms Approval Request.

3. Overseas Office

On occasion, a Mission will need a form for a specific purpose and no preprinted form in the AID forms inventory can be readily adapted to fill that need. In those instances, the Mission should develop a form that will fill their needs, using the GSA Records and Information Management Handbook, Forms Analysis and Design, for basic guidance. The handbook can be obtained from GSA. When originating forms in the Mission, Part III, Section 12P of this Handbook should be consulted to assure the inclusion of a Privacy Act implication statement that may be required when personal information is collected. Any forms, instituted in the Mission, which may be of use to AID/W or other Missions should be sent to FA/AS/ISS//RM with a brief explanation as to the use of the form.

a. Identifying Internal Mission Forms

(1) Missions may adopt an internal forms numbering system, but are to ensure that the numbers assigned are clearly distinguishable from the numbers used by AID/W and other Missions.

(2) The Mission developing and using such forms must be clearly identified on each form. This is particularly important when the form provides information to another AID organization, or for any reason is transmitted to AID/W or another overseas AID office.

b. Translating Forms

Each Mission is responsible for obtaining its own foreign language translations of AID/W and overseas office-initiated forms. However, AID/W printing facilities may be used to reproduce the form if the Mission submits reproducible camera-ready copy.

c. Procurement of Forms

(1) Procedures for procuring and maintaining a supply of forms in overseas offices are prescribed in Section 5I2a of this chapter.

5E3c

(2) In many cases, it may be more expedient and economical to obtain forms through local printing facilities rather than order them from AID/W. The "USAID Forms Facsimile Handbook", issued in March 1988 as HB 18 Appendix A-1, will enable the mission to obtain blank cut forms through local printing facilities rather than ordering them from AID/W. A "Special Section" is also included in the handbook which consists of "speciality forms"; some are manifold or larger than legal size format. Although some manifold forms are included in the handbook they are to be reproduced for emergency use only. Such forms will normally be ordered from AID/W. If local facilities are used for this purpose, the Mission is to ensure that it is reproducing the current edition of the form, with exact duplication of size, color, quality, etc.

5F. Requiring Office's Role in Determining the Actual Need for a Form

1. It is the responsibility of an individual or office wishing to propose a form to investigate first the possibility of using either (a) a Standard Form, (b) an Optional Form, (c) a Department of State form when appropriate, or (d) an existing AID form rather than creating a new one. The AID Forms Catalog (Appendix A) lists the descriptive titles of existing AID forms. In many cases, an existing AID form can be adapted or revised to the satisfaction of all using offices, thereby eliminating the necessity to create a new form. The Standard and Optional Forms Facsimile Handbooks are maintained in FA/AS/ISS/RM.

2. If an individual or office determines that there is a need for a new form, it is to be coordinated with FA/AS/ISS/RM during the preliminary stages of its development. The FA/AS/ISS/RM Forms Management Analyst can advise on ways to use forms to collect information, on appropriate composition to fulfill requirements, and on writing clear, concise procedures for using a form.

5G. Procedures for Obtaining Approval for New and Revised Forms

1. Procedures for Obtaining Approval of AID Forms Used Agency-Wide

a. Preparation of Forms AID 3-1, Forms Approval Request

Requiring offices are responsible for submitting new and revised forms for analysis, design, and reproduction to FA/AS/ISS/RM far enough in advance to allow necessary lead time for printing,

5G1a

composition, and distribution of the form. The requiring office prepares form AID 3-1, available from the Property and Purchasing Branch, FA/AS/PP/PP, in original and two copies (no Xerox copies please), and forwards all copies with supporting documentation to FA/AS/ISS/RM for action. One copy of form, AID 3-1, will be returned to the requiring office after necessary action has been taken. The supporting documentation includes:

(1) A draft copy of the proposed form. (See Section 5G1c(1) for detailed guidance.)

(2) A copy of the proposed directive or written procedure covering the form (if applicable) or a copy of instructions governing the use of the form. When referring to specific forms in a proposed directive include the form number, form title, and revision date.

(3) Eight (8) copies of SF 1, Printing and Binding Requisition to the Public Printer (used for all types of forms).

b. Instructions for Completing Form AID 3-1 (Attachment A)

(1) BLOCK - Form Number and Date: To be completed by FA/AS/ISS/RM

(2) PART I - To be Completed by Requiring Office

The requiring office must complete all other items on the front of this form. Any item not listed in the instructions below is considered self-explanatory and therefore, not included. Assistance in completing this form will be provided by FA/AS/ISS/RM upon request.

BLOCK 2 - Contact: Enter the name of the person FA/AS/ISS/RM will consult with in the requiring office on matters concerning the proposed form.

BLOCK 5 - Form Title: The use of titles such as "Worksheet" or "Monthly Report" must be followed by more specific and descriptive words in order to properly identify the exact use to be made of the form.

BLOCK 6 - Requiring Handbook for Instruction: Enter the handbook number, chapter, and section which prescribes the use of the required form. If required by internal instruction, enter the title of the document.

5G1b(2)

BLOCK 8 - Filing Equipment Used and Size: "X" the appropriate box which describes the type of filing equipment used to file completed forms and enter the size of such equipment. Under "Other" specify any special type of equipment. (Determines the paper size to be used.)

BLOCK 9 - Method of Completion: "X" the appropriate box. If the form is to be completed on mechanical equipment other than typewriter (e.g., a computer prepared report), "X" "Machine" and enter the make and model of the equipment. (Determines the spacing used on the form.)

BLOCK 12 - Estimated Date Form Needed: Enter the effective date that the requiring office will need the form. The following lead times are to be used by requiring office.

TYPE OF ACTION	NUMBERS OF WORKING DAYS ALLOWED
Analysis by FA/AS/ISS/RM	
Major Revision to Form	5
Minor Revision to Form	1
Design of Form by MS/AS/ISS/RM and approval by requiring Office	5
Printing of form	
Blank-cut forms	10
Pads of forms	30-45
Large quantities of blank-cut forms (over 10,000)	30
Blank-cut on special paper	30
Speciality forms (snap-out)	45
Distribution to field	30

BLOCK 16 - Distribution of Original and Each Copy: Enter the number of copies prepared and the final disposition of each copy (according to procedures for the use of the form). (Determines form construction.)

BLOCK 17 - Office Completing Form: Enter office using the form; e.g., FM, Mission only, AID/W only, etc. (Determines stocking of the form.)

BLOCK 18 - Justification of Requested Action: Enter a statement explaining why the form is needed (purpose and limitation).

5G1b(2)

BLOCK 19 - Distribution: List the proposed initial distribution for the form. Use an additional sheet of paper, if necessary. Also include, where applicable, any handbook material which is to be distributed concurrently with the form. If initial distribution is not required, enter NONE.

BLOCK 20 - Clearance: Obtain all necessary clearances from the appropriate offices.

(3) PART II - To be completed by the Forms Management Office: FA/AS/ISS/RM completes the back of the form.

c. Submission of Form AID 3-1 and Supporting Documentation

(1) Preparation of Requiring Office's Predesigned Draft

(a) The requiring office may prepare an initial rough draft design of its requirements or obtain FA/AS/ISS/RM assistance in conceptualizing the form, as well as preparing an initial draft.

(b) Special care is to be given to select language and captions that the responding offices will not misinterpret, and to ensure that the requested information is in a logical sequence. This will minimize confusion and ensure that the form will be completed properly.

(c) Size and format are determined by the methods to be used in completing, handling, and filing the form.

(d) Minimal instructions for preparing the form should appear on the front of forms used AID-wide. Detailed requirements for their use, and instructions for their preparation and submission should be contained in the applicable handbook. When forms are to be used by the public or another government agency complete instructions must be given and may appear on the reverse side of the form. In all cases when a form is associated with a handbook, that handbook must be referenced on the form.

(e) Requiring offices are to keep in mind that all forms (especially public-use forms) must be designed for readability, simplicity, and be jargon free so that they can be understood clearly and completed.

(2) Responsibilities Relating to Requested Form

(a) Requiring offices are to prepare draft directives in accordance with Part I of this Handbook, for all general use or inter-office forms.

5G(2)(a)

1. Types of Issuances Required

a. A new handbook chapter or section if the procedure and related documentation is entirely new to the system.

b. A revised handbook chapter or section (entire or partial) if the revision or cancellation of the form alters the instructions contained in the existing handbook.

c. A handbook transmittal memorandum accompanied by the form if the form is the only page(s) being revised or cancelled.

d. A handbook circular, if the new or revised form requires immediate issuance of the form and its instructions. Such forms and their instructions are to be included in the appropriate handbook at a later date.

(b) Prepare operating instructions for the use of inter-office forms.

(c) Instructions for the use of forms required of the general public or other government agencies are prescribed by AID regulations. The form's title and number are published in the Federal Register.

2. Forms Subject to 5 CFR 1320, Controlling Paperwork Burdens on the Public

a. All AID forms required for collection of identical items of information from ten or more respondents located either in the United States or overseas, who are not U.S. Government employees, are to be submitted through the Agency Clearance Officer in IRM/PE for clearance by OMB following the procedures outlined in this Part V, Chapter 4 of this Handbook.

b. In addition to the process outlined in Part V, Chapter 4, the procedures for submitting AID forms for clearance and review are to be followed as delineated in Section 5G of this Handbook.

3. Forms Subject to the Federal Information Resources Management Regulation (FIRMR), Subpart 201-45.6 - Interagency Reports

a. All AID forms used to gather reporting information from one or more departments or agencies are to be submitted through the Interagency Reports Coordinator in IRM/PE for clearance by GSA following the procedures outlined in Part V, Chapter 4 of this Handbook.

5G3

b. In addition to the process outlined in Part V, Chapter 4 of this Handbook, the procedures for submitting AID forms for clearance and review are to be followed as delineated in Section 5G of this chapter.

4. Forms Subject to the Privacy Act of 1974

a. All AID forms which solicit personal information must contain the pertinent statements required by the Act which are outlined in Part III, Chapter 12 of this Handbook. The proposed form must be cleared by the Privacy Act Staff (XA/PI).

b. In addition to the process outlined in Part III, Chapter 12, the procedures for submitting AID forms for clearance and review are to be followed as delineated in Section 5G of this chapter.

5. Forms Subject to the Metric Conversion Act of 1975 as amended in 1988.

a. All forms which are soliciting "measurement-sensitive" data i.e., data whose meaning or application depends substantially on some measured quantity, are to be designed in accordance with P.L. 94-168, as amended by P.L. 100-418, and E. O. 12770. Therein the metric system of measurements is designated the preferred system of weights and measurements for U.S. trade and commerce, and Federal agencies are to accommodate the transition to the metric system and to use it for procurements, grants and other business-related activities except to the extent that such use is impractical or is likely to cause significant inefficiencies or the loss of markets to U.S. firms. Forms soliciting measurement-sensitive data shall specify the metric units prescribed in Federal Standard 376A, ("Preferred Metric Units for General Use by the Federal Government") except as provided in the Act.

b. Depending on the degree to which a particular class of respondents has adopted the metric system, forms may be designed to give the respondents the option of providing measurement-sensitive data in either the metric or traditional units.

c. FA/AS/ISS/RM will refer decisions not to provide for the submission of measurement-sensitive data in metric units to the AID Metric Executive for review.

d. In addition to the process outlined in part V Chapter 4, the procedures for submitting AID Forms for clearance and review are to be followed as delineated in 5G.

5H. Procedures for Cancelling an AID Form

1. When a requiring office determines that a form is no longer needed, FA/AS/ISS/RM must be notified by submission of form AID 3-1. Include the effective cancellation date and any other pertinent information which affects the cancellation of the form.

2. Upon receipt of a request to cancel an AID form from a requiring office and determination by FA/AS/ISS/RM that the form is no longer needed, the AID form number is not used again unless the same form is reinstated. FA/AS/ISS/RM will take appropriate steps to remove the form from stock and the Forms Catalog.

5I. Stocking and Procurement of Forms

1. AID/W

a. Forms Used Agency-Wide

(1) AID Forms

The AID Forms Catalog (Appendix A of this Handbook) lists the descriptive titles of all AID forms and where they are stocked. AID forms used by two or more offices are stocked by the AID Warehouse, FA/AS/PP/PP, and are ordered on form AID 5-7, Supplies/Equipment/ Services Requisition.

(2) Non-AID Forms

Standard Forms and Optional Forms can be obtained from GSA. The requestor should complete form AID 5-7 (Supplies/Equipment/Service Requisition) and submit it to the requestor's organizational administrative office for approval.

Contact FA/AS/ISS/RM to obtain State Department and Joint Forms.

b. Forms Used by One Office Only

Any office which has initiated an AID form for its own use is responsible for maintaining an adequate supply of the form. Reprinting of the form is requested by submitting a copy of it along with SF 1 to FA/AS/ISS/RM. Ordinarily, stocks are to be sufficient for 12 months' requirements depending on the climate of the storage facility and perishability of the form.

2. Overseas Office

a. Procurement of Forms

(1) AID Forms

5I2(1)

AID forms prescribed for overseas office use are available from FA/AS/PP/PP in AID/W. They are ordered on form AID 5-7.

The USAID Forms Facsimile Handbook will be updated with new forms and revisions to existing forms through a Transmittal Letter series. Individual pages may be replaced by (a) sending AID Form 5-7 (Supplies/Equipment/Services Requisition) or (b) via telegram. The subject line of telegrams should read: Request for USAID Facsimile Forms, FA/AS/ISS/RM.

(2) Forms Prescribed by Uniform State/AID/USIA Regulations and Other U.S. Government Forms

Joint Forms, Department of State Forms, Foreign Service Forms and other U.S. Government forms may be obtained from the local Embassy or Consulate as prescribed by the Federal Procurement Handbook. Reimbursement will be effected through appropriate administrative support agreements.

b. Maintenance of Supplies

Overseas offices are responsible for maintaining an adequate supply of all forms used by them. Reordering cycles are to be established which allow sufficient time for receipt of forms, either from local Embassy or Consulate facilities, or from AID/W, in order that the requisitions may be processed in a routine manner. Surface shipment will be used to transmit supplies from AID/W in most cases. Approximate costs for pouch shipments are listed in Handbook 21, Part 1 Communication. Missions can avoid wasting Agency funds by not creating inventories of forms in excess of a 6 months supply.

5J. Other U.S. Government Forms Used by AID

When AID offices are required to use forms initiated or required by other Government agencies, e.g., GSA (Standard and Optional Forms), Office of Personnel Management, GAO, Treasury, and State, that office is to inform FA/AS/ISS/RM of such requirements by the submission of a form AID 3-1 and supporting documentation. (See Section 5G.)

5K. Availability of Forms

The forms required in this chapter of the Handbook are available in FA/AS/PP/PP, AID/Washington. These forms are:

Form AID 3-1, Forms Approval Request
Form AID 5-7, Supplies/Equipment/Services Requisition
Form SF 1, Printing and Binding Requisition

Attachment:
Form AID 3-1, Forms Approval Request

ATTACHMENT 5A
18-V:32, 11-30-91

FORMS APPROVAL REQUEST	INSTRUCTIONS 1. *Prepare an original and three copies. DO NOT SEND XEROX COPIES.* 2. *See HB 18, Pt. V, Chap. 5 for instructions.*	*Form Number and Date* (Forms Mgmt. Office Use Only)

PART I - TO BE COMPLETED BY REQUIRING OFFICE

1. Requiring Office	2. Contact	3. Room Number and Bldg.	4. Telephone Number
5. Form Title			6. Covering Handbook

7. Type of Action		8. Filing Equipment Used and Size			9. Method of Completion	
	New	EQUIPMENT		SIZE		Handwritten
	Revised		Folder			Typewriter
	Cancelled		Visible Card			Machine *(specify make and model*
	Reinstate		Vertical Card			
	One-Time		Binder			
	Trial		Other *(speify)*			

10. Cancelled or Superceded					11. FREQUENCY OF USE *(Monthly, Daily, etc.)*	12. Estimated Date Form Needed
		DISPOSITION				
FORM NUMBER	DATE	Use	Destroy	Date		
					13. Estimated Yearly Usage	14. Recommended Size of Form

15. Number of Copies Prepared	16. Distribution of Original and Each Copy	17. Office(s) Completing Form

18 Justification of Requested Action

Distribution *(List all necessary distribution, both AID/W and Mission. Attach additional sheet if necessary.)*

20. CLEARANCES

TYPED NAME	TITLE	OFFICE	INITIALS	DATE

AID 3-1 (4-90)

PART II - TO BE COMPLETED BY THE FORMS MANAGEMENT OFFICE

1. OMB Number and Expiration Date	2. Report Control Symbol	3. Other Controlling Numbers (i.e., GAO, etc.)

4. Type of Form		5. Paper and Ink Specifications					
	Cut Sheets	Copy	Paper Color	Paper Grade	Ink Color	Carbon	Indicia
	Direct Image Masters	1					
	Pads	2					
	Snapout Sets	3					
	Continuous Strip	4					
	Continuous Pinfeed	5					
	Other *(specify)*	6					
		7					

6. Actual Size of Form	7. Punching			8. Pads			9. Other Binding Instructions
	Holes	CTOC	POSITION	Sheets In Pads	Sheets In Set	Total Sets	

10. Prenumbered		11. Print					12. Total Amount to be Printed	13. Stocked By
FROM	TO	ONE SIDE	HEAD TO					
			HEAD	FOOT	LEFT	RIGHT		

14. Special Distribution Or Printing Instructions

15. Forms Management Comments

16. APPROVALS

TYPE OF APPROVAL	TYPED NAME OF APPROVING OFFICER	INITIALS	DATE
Reports Management			
Automatic Data Processing			
Other *(Specify)*			
Forms Management			

TRANSMITTAL MEMORANDUM CHECKSHEET

HANDBOOK 18 - INFORMATION SERVICES

PART V - DATA MANAGEMENT SERVICES

18-V:1	_____	18-V:26	_____
18-V:2	_____	18-V:27	_____
18-V:3	_____	18-V:28	_____
18-V:4	_____	18-V:29	_____
18-V:5	_____	18-V:30	Laf
18-V:6	_____	18-V:31	Laf
18-V:7	_____	18-V:32	Laf
18-V:8	_____	18-V:33	_____
18-V:9	_____	18-V:34	_____
18-V:10	_____	18-V:35	_____
18-V:11	_____	18-V:36	_____
18-V:12	_____	18-V:37	_____
18-V:13	_____	18-V:38	_____
18-V:14	_____	18-V:39	_____
18-V:15	_____	18-V:40	_____
18-V:16	_____	18-V:41	_____
18-V:17	_____	18-V:42	_____
18-V:18	_____	18-V:43	_____
18-V:19	_____	18-V:44	_____
18-V:20	_____	18-V:45	_____
18-V:21	_____	18-V:46	_____
18-V:22	_____	18-V:47	_____
18-V:23	_____	18-V:48	_____
18-V:24	_____	18-V:49	_____
18-V:25	_____	18-V:50	_____

Handbook 18
Information Services

Appendix A

A.I.D. Forms Catalog

AGENCY for INTERNATIONAL DEVELOPMENT
DEPARTMENT of STATE
WASHINGTON, D.C. 20523

APPENDIX A

AID Forms Catalog

P R E F A C E

This Appendix A to Handbook 18 - Information Services, is entitled "AID Forms Catalog," and lists all AID forms which have been approved for use in AID/Washington and/or Missions. Forms are listed in numerical order, giving the current revision date, the title, the requiring office, the authority, and the stocking point. For some forms, additional information is provided to aid in their identification and use.

Other sections of the complete Handbook 18 are:

Part I - Directives
Part II - Information to the Congress
Part III - Information to the Public
Part IV - Information Sources in AID
Part V - Data Management Services
Appendix B - Listing of Recurring Reports
Appendix C - Deleted
Appendix D - The A.I.D. Code Book
Appendix E - Deleted

Address questions about Appendix A to M/SER/IRM/MMP

TABLE OF CONTENTS

APPENDIX A

AID FORMS CATALOG

	Page
1. General	A-1
2. Stocking of Forms	A-1
a. AID/Washington	A-1
(1) Forms Used Agency-Wide	A-1
(2) Forms Used by One Office Only	A-1
(3) Forms for Automated Systems	A-1
b. Missions	A-2
3. Maintenance of Forms Catalog	A-2
4. Listing of AID Forms	A-3 - A-50

APPENDIX A TO THE INFORMATION SERVICES HANDBOOK

A.I.D. FORMS CATALOG

1. General

a. The *Office of Management Operations, Policy Analysis Division, Records Management Branch M/SER/MO/PA/RM*, is responsible for administering the Agency's Forms Management Program.

b. The A.I.D. Forms Catalog lists all A.I.D. forms which have been approved for use in A.I.D./Washington and/or Missions.

c. Forms are listed in numerical order, giving the current revision date, the title, the requiring office, the authority, and the stocking point. For some forms, additional information is provided to aid in their identification and use; e.g., A.I.D. Report Control Symbol, Office of Management and Budget Approval No. (for forms to be completed by the public), etc.

2. Stocking of Forms

a. A.I.D./Washington

(1) Forms Used Agency-Wide

A.I.D. forms used by two or more offices are stocked by the *Office of Management Operations, Resources Management (M/SER/MO/RM/PPM)*. Copies are to be requested on form A.I.D. 5-7, Supplies/Equipment/Services Requisition.

(2) Forms Used by One Office Only

Any office which has initiated an A.I.D. form for its own use is responsible for reprinting and maintaining an adequate supply of the form. Additional supplies are available only by submitting a copy of the form with a printing requisition (SF 1, Printing and Binding Requisition or SF 1-C, Printing and Binding Requisition for Speciality Items) through the *Office of Management Operations, Policy Analysis Division, Records Management Branch M/SER/MO/PA/RM*.

(3) Forms for Automated Systems

Forms used by the Office of Information Resources Management, Automation Support Division (M/SER/IRM/AS), for an automated system are stocked by M/SER/IRM/AS.

b. Missions

A.I.D. forms prescribed for Mission use are available from *M/SER/MO/RM/PPM*, in AID/W. They are ordered on form A.I.D. 5-7.

3. Maintenance for Forms Catalog

The lists of forms are complete as of the issuance date of this catalog. The catalog will be updated periodically by *M/SER/MO/PA/RM* to reflect new, revised, or cancelled forms. Updates will be accomplished by the issuance of page changes to this Appendix.

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
2-2	8-87	PASA-Participating Agency Service Agreement between the Agency for International Development and Agency	M/SER/OP	HB 12, Chap. 1	M/SER/OP	
2-2A	2-88	Budget Plan - Appendix B	M/SER/OP	HB 12, Chap. 1	OP/PS/SUP	
2-2C	8-74	Appendix A - Scope of Work	M/SER/OP	HB 12, Chap. 1	OP/PS/SUP	
2-5	7-83	Participating Agency Certification of Candidate's Qualifications	M/SER/OP	HB 6, Chap. 1	MO/RM/PPM	
240-2	2-88	Resources Support Services Agreement A.I.D and (Agency)	M/SER/OP	HB 12	OP/PS/SUP	
240-2A	12-82	RSSA-Budget Agreement	M/SER/OP	HB 12	OP/PS/SUP	
240-2B	9-73	RSSA-Continuation Sheet	M/SER/OP	HB 12	OP/PS/SUP	
282	1-78	Supplier's Certificate and Agreement with the A.I.D. for Project Commodities	M/SER/OP	HB 15, App. A	MO/RM/PPM	OMB Approval No. 0412-0012

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
3-1	1-84	Forms Approval Request	MO/PA/RM	HB 18	MO/RM/PPM	
3-7A	7-74	A.I.D. Handbook (Masthead Left Page)	IRM/PE	HB 18, Pt. 1	IRM/PE	
3-7B	7-74	A.I.D. Handbook (Masthead Right Page)	IRM/PE	HB 18, Pt. 1	IRM/PE	
3-12	11-56	Authorization of Official Entertainment Expenses	FM/WAOD	HB 19, Chap. 12	MO/RM/PPM	
3-27	12-64	Communications Log	MO/CPM	HB 21, Pt. II, Chap. 1	MO/RM/PPM	
3-41	9-62	Registered Matter Record	MO/CPM	HB 21, Pt. II, Chap. 1	MO/CPM	
3-69	3-78	A.I.D. Directives System Review Request	IRM/PE	HB 18, Pt. I	MO/RM/PPM	
3-131	2-60	Executive Secretariat Mail Action Request	ES		ES	
3-184	1-68	Forms Printing Request Record	MO/PA/RM		MO/PA/RM	
3-193	3-85	Subscription Record Card	MO/RM/AP		MO/RM/AP	
3-198	3-84	Report Approval Application	IRM/PE	HB 18	MO/RM/PPM	
3-199	9-63	Standard "80" Column Transmittal	IRM/PE	HB 18	IRM/PE	
3-219	3-65	Congressional Telephone Request	LEG/CLS	HB 18, Pt. II	LEG/CLS	
3-221	4-65	Participating Agency Notice (Masthead)	M/SER/OP	HB 12	OP/PS/SUP	
3-245		Multiple Layout Form for EAM Cards	IRM/PE		IRM/PE	
3-252	11-85	A.I.D. Directives System Issuance Request	IRM/PE	HB 18 Pt. I	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
320-1	5-83	Information and Resources Management Service Request	IRM/AS	HB 18, Pt V Chap. 1	MO/RM/PPM	
320-16	11-78	Batch Control Ticket	IRM/AS		IRM/AS	
320-23	9-86	Computer Run Request	IRM/AS		IRM/AS	
320-25	4-75	Xerox 8700/Output Preparation Report Checkoff Sheet	IRM/AS		IRM/AS	
320-29	5-76	Output Preparation	IRM/AS		IRM/AS	
320-30	10-84	Memo Re: Authorization of Voucher Payment	IRM/AS		IRM/AS	
320-32	4-85	Request to Modify the Decode File	IRM/TS	HB 18	IRM/TS	
320-36	11-83	Weekly Activity Report	IRM/PE		IRM/PE	
320-37	3-78	Request to Modify Data Element Dictionary	IRM/SM		IRM/SM	
320-39	9-78	Request for System Identification (Sys-ID)	IRM/TS		IRM/TS	
320-40	9-78	Change Request for Computer User Identification (User-ID)	IRM/TS		IRM/TS	
320-41	10-78	Memo Re: Request for Loan of Portable Terminal-Written Transfer of Responsibility	IRM/AS		IRM/AS	
320-42	4-79	Magnetic Tape Checkout Form	IRM/AS		IRM/AS	
320-44	6-79	Priority Computer Processing Request	IRM/AS		IRM/AS	
330-3	6-73	Forms Transmittal	MO/PA/RM		MO/PA/RM	
330-6	6-85	EOP Action Request	EOP		EOP	
340-1	4-75	A.I.D. Format - Handbook Transmittal	IRM/PE		IRM/PE	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
340-2A	5-81	A.I.D. Format - A.I.D. Handbook Circular (Right Hand Page)	IRM/PE	HB 18 Pt. I, Chap. 5	IRM/PE	
340-2B	5-81	A.I.D. Format - A.I.D. Handbook Circular (Left Hand Page)	IRM/PE	HB 18 Pt. I, Chap. 5	IRM/PE	
340-2C	5-81	A.I.D. Format - A.I.D. Handbook Circular (Left Hand Page)	IRM/PE	HB 18 Pt. I, Chap. 5	IRM/PE	
352	3-87	Claim Control Card	MO/PA/PB	HB 23, Chap. 10	MO/PA/PB	
370-2	8-86	Program Summary/Personnel Data/ Participant Training Data	LEG		LEG	
370-3	8-83	Program Summary	LEG/PPD		LEG/PPD	
370-7	11-85	Planned Project Summary Sheet	LEG/PPD		LEG/PPD	
381-1	6-71	Request for Approval of Participation in International Conference	SER/MO	HB 22	MO/RM/PPM	
381-5	4-85	Congressional Notification Activity Data Sheet	LEG/PPD		LEG/PPD	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
4-404	1-78	Recommendation for a Quality or Meritorious Increase	PM/FSP PM/EPM	HB 29	MO/RM/PPM	
4-450	12-67	Confidential Statement of Employment and Interests (for use by Special Gov't Employees)	GC/EPA	HB 24, Chap. 2	GC/EPA	
4-463	1-67	Language Incentive Pay Control Card	PM/TD PM/EPM		PM/TD	
4-470	2-85	Application for Language Training	PM/TD	HB 28, Chap. 4	MO/RM/PPM	
4-472	4-69	Report of Vacancies and Training	EOP	HB 24	MO/RM/PPM	Report Control Symbol W-16
4-483	2-81	Request for Employment of Consultant or Expert	PM/CSP	HB 25, Chap. 14	MO/RM/PPM	
4-487	11-69	Checklist for International Development Intern Candidates	PM/R		PM/R	
4-489	10-79	Applicant Questionaire Merit Promotion	PM/CSP	HB 25	MO/RM/PPM	
4-495	11-76	Union Bargaining Unit Indicator	PM/LMR		PM/LMR	
4-497	11-76	Supplemental Qualifications	PM/RP		PM/CSP PM/FSP PM/EPM	
4-498	1-83	Miscellaneous Data	PM/RP		PM/CSP PM/FSP PM/EPM	
4-500	11-76	Training Course Completed	PM/TD		PM/TD	
4-501	2-77	Language and MLAT Qualifications	PM/TD		PM/TD	
4-501A	11-76	Foreign Language Qualifications	PM/TD		PM/TD	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
4-10	4-60	Checklist for Processing Foreign Service Employees	PM/FSP PM/EPM		MO/RM/PPM	
4-56	4-63	Appointment Worksheet	PM/FSP		MO/RM/PPM	
4-88	11-69	Instructions for Obtaining Medical Examinations and Inoculations in Washington, D.C.	PM/FSP		PM/FSP	
4-153	7-84	Selection Board Report	PM/FSP/CDE	HB 25, Chap 10	PM/FSP/CDE	
4-174	9-70	Conditions of Employment for Foreign Service Personnel Employed by the Agency for International Development	PM/FSP PM/EPM		MO/RM/PPM	
4-175	12-67	Instructions for Obtaining Physical Examinations Overseas Employment	PM/FSP PM/EPM		MO/RM/PPM	
4-178	11-70	General Instructions to Candidates for Overseas Positions	PM/FSP PM/EPM		MO/RM/PPM	
4-187	10-69	Conditions Governing Assignment of a Foreign Service Employee to a Position in the U.S.	PM/FSP PM/EPM		PM/FSP	
4-243	12-78	Request for Leave Without Pay in Connection with RIF (Foreign Service ONLY)	PM/FSP	HB 30, Chap. 2	PM/FSP	
4-253	6-85	Completion of Assignment Report	PM/FSP	HB 25, Chap. 6	MO/RM/PPM	
4-312	9-79	Overseas Return Certificate	PM/FSP	HB 32	MO/RM/PPM	
4-366	9-67	Instructions for Appointees to the A.I.D. Foreign Service	PM/FSP		MO/RM/PPM	
4-397	3-80	Request for Waiver of Language Training in the U.S.	PM/TD PM/EPM PM/FSP	HB 28, Chap. 4E1	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
4-503	7-70	EDR Print Request	PM/RP PM/CSP		PM/CSP PM/FSP PM/EPM	
4-512	8-84	SPAR Staffing Pattern Action Request	PM/FSP PM/CSP PM/EPM	HB 32	MO/RM/PPM	
4-513	7-70	Code Tables	PM/RP		MO/RM/PPM	
4-523	7-70	Replacement Positions	PM/FSP		PM/FSP	
4-524	7-70	Foreign Service Selective Search	PM/FSP		MO/RM/PPM	
410-1	5-78	Equalization Allowance Information	FM/WAOD	HB 25, Chap. 21	FM/WAOD	
410-2	11-73	Request for Employment Under the Inter-governmental Personnel Act of 1970	PM/CSP	HB 25, Chap. 16	MO/RM/PPM	
410-4	11-79	Authority for Release of Medical Information	PM/EPM PM/FSP PM/CSP	HB 6, Chap. 1	PM/EPM PM/FSP PM/CSP	
410-6	5-77	Medical Clearance Information	PM/FSP PM/EPM	HB 25	PM/FSP PM/EPM	
410-10	10-86	SES Performance Planning & Appraisal Report	PM/CSP	HB 25	MO/RM/PPM	
410-11	6-87	Performance Appraisal Report for PMRS GS & Prevailing Rate Employees	PM/CSP	HB 25	MO/RM/PPM	
410-12	11-80	Qualifications Inquiry	PM/CSP		PM/CSP	
410-13	1-85	Medical Examination Notification	PM/FSP PM/EPM	HB 25	PM/FSP	
420-4	6-87	Instructions for the Employee Evaluation Report - Foreign Service	PM/FSP/CDE	HB 25, Chap. 10	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
420-4A	6-87	Employee Evaluation Report Foreign Service	PM/FSP/CDE		MO/RM/PPM	
420-8	5-80	Long Term Training Application	PM/TD	HB 28 Chap. 9	MO/RM/PPM	
430-1	5-80	Blood Donor Program Information Card	AA/M		AA/M	
430-3	10-80	Overtime Authorization and Report	PM/ADM FM/ASD		MO/RM/PPM	
430-4	7-76	Overseas Position Evaluation Form	PM/PMC	HB-33	MO/RM/PPM	
450-1	8-72	AID/W Emergency Locator Card	PM/CSP PM/EPM	HB 29	MO/RM/PPM	
450-3	1-74	Employee Suggestion Form	PM/PP	HB 29 Chap. 5	MO/RM/PPM	For AID/W Employees Only
450-4	1-80	Suggestion Record	PM/PP	HB 29, Chap. 5	PM/PP	
460-2	12-75	Analysis of Position Requirements	PM/TD	HB 28, Chap. 6	MO/RM/PPM	
460-3	8-81	Individual Development Plan	PM/TD	HB 28, Chap. 6	MO/RM/PPM	
460-6	11-86	Employee Data Record Print	PM/RP	HB 32, Chap. 2	IRM/AS	
460-7A	11-86	IDIP Performance Evaluation Report	PM/FSP	HB 28, Chap. 5	MO/RM/PPM	
460-8	4-70	Individual IDI Training Record	PM/FSP/CDE	HB 28, Chap. 5	MO/RM/PPM	
460-9		Training Survey (PER 15)	SER/PM		SER/PM	
460-10	11-76	EDR Print Review Date	PM/FSP PM/CSP PM/EPM		PM/FSP PM/CSP PM/EPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
460-11	8-77	Personal Progress Report	PM/EPM	HB 28, Chap. 5	MO/RM/PPM	
460-15	4-83	Registration Form: Country Specific Studies Self-Study Module	PM/TD		PM/TD	
460-16	4-83	Application for Dependent Care/Training Grant	PM/TD	HB 28, Chap. 2	MO/RM/PPM	
460-17	4-83	Certification for Dependent Care/Training Grant	PM/TD	HB 28, Chap. 2	MO/RM/PPM	
466-1	6-71	Correct Chronological Data Record	PM/RP		PM/CSP PM/FSP PM/EPM	
466-4	1-83	Derived Data Correction Employee Data	PM/RP		PM/CSP PM/FSP PM/EPM	
466-7	11-71	External Switch Data	PM/RP		PM/RP	
490-2	4-80	Residence and Dependency Statement	PM/FSP PM/EPM	HB 32, Supp. 18	MO/RM/PPM	
490-4	6-80	Accounting for Disclosure Record	XA/PI	HB 18, Chap. 12	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
5-4	12-80	Letter to Embassy Re: Request to affix Visa to Passport	MO/TT	HB 22	MO/TT	
5-7	3-88	Supplies/Equipment/Services Request	MO/RM	HB 20	MO/RM/PPM	
5-8	10-80	Request and Authorization of Official	MO/TTM	HB 22	MO/RM/PPM	
5-10	7-55	Stock Inventory Record-History	MO/RM		MO/RM	
5-11	7-55	Stock Inventory Record-Issue	MO/RM		MO/RM	
5-18	9-71	Duplicating and Distribution Request	MO/PM/D	HB 20	MO/RM/PPM	
5-19	1-87	MO/CPM-Multi Service Center Quick Copy Request			MO/CPM/MD	
5-20	7-55	Travel Arrangements Requirements	MO/TTM		MO/TTM	
5-22	12-86	Transmittal Letter for Government Bills of Lading	MO/TTM		MO/TTM	
5-27	7-57	Daily Work Schedule for Visa Clerk	MO/TTM		MO/TTM	
5-29	7-55	Receiving Report	MO/RM		MO/RM	
5-44	8-80	Storage & Export Packing Authorization for Surface Shipment	MO/TTM	HB 22, Chap. 9	MO/RM/PPM	
5-44A	8-80	Instructions to Packer Shipment/Storage of Effect and Billing	MO/TTM	HB 22, Chap. 9	MO/RM/PPM	
5-44B	3-88	Packers Authorization	MO/TTM	HB 22	MO/RM/PPM	
5-45	2-81	Notification of Retirement of Inactive Records	MO/RM/PA	HB 21	MO/RM/PPM	
5-51	6-62	Pouch Mail Invoice/Receipt	MO/CPM		MO/CPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
5-68	7-55	Charge and Follow-Up of Files	MO/RM/PA	HB 21	MO/RM/PPM	
5-73	10-75	Nonexpendable Personal Property Disposal Record -- Missions	MS/OM	HB 23, Chap. 4	MO/RM/PPM	Report Control Symbol U-512
5-95	1-75	Telephone Request	MO/RM/PPM		MO/RM/PPM	
5-96	5-67	Shipment and Storage Data	FM/SSD MO/TTM		FM	USAID's Use Only
5-97A	4-62	Pouch Dispatch Record	MO/CPM		MO/CPM	
5-98	10-87	Routing and Transmittal Slip	MO/PA/RM		MO/RM/PPM	
5-103	2-56	Backing Sheet for Charged-Out Files	MO/PA/RM	HB 21	MO/RM/PPM	
5-127	2-58	Signature Tabs	SER/MO	HB 21	MO/RM/PPM	
5-127A	2-58	Clearance Tabs	SER/MO	HB 21	MO/RM/PPM	
5-131		Type of Negotiation	SER/MO		MO/RM/PPM	
5-169	3-59	Backing Sheet for USAID Action Communication	MO/CRM		MO/RM/PPM	
5-190	10-71	Instructions to Candidates for A.I.D. Overseas Positions - Personal Travel and Shipment/Storage of Household and Personal Effects	PM/OS		MO/RM/PPM	
5-192	2-70	Notice of Signing Authority for Cablegrams and Airgrams	MO/CPM	HB 21, Pt. II, Chap. 2	MO/CPM	
5-197	1-79	Motor Vehicle Record	MS/OM	HB 23, CHap. 6	MO/RM/PPM	
5-197A	1-79	Correction of Motor Record	MS/OM	HB 23, Chap. 6	MO/RM/PPM	
5-205		Letter Transmitting Visa Application to Traveler	MO/TTM		MO/TTM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
5-230	4-79	Property Survey Report	MO/RM	HB 20	MO/RM/PPM	For MO/RM Use Only
5-231	8-63	Physical Inventory Report	MO/RM	HB 20		For MO/RM Use Only
5-231A	8-63	Physical Inventory Report Continuation Sheet	MO/RM		MO/RM	For MO/RM Use Only
5-232	6-77	Graphic Service Request	MO/PM/G	HB 20	MO/PM/G	
5-236	7-74	UER Unsatisfactory Equipment Report	MS/OM	HB 23, Chap. 6	MO/RM/PPM	
5-237	3-80	Monthly Record of Automobile Operating Expenses	MS/OM	HB 23, Chap. 6	MO/RM/PPM	
5-238	7-64	Parts Slip and Work Required	MS/OM	HB 23, Chap. 6	MO/RM/PPM	
5-248	6-73	Memo to State Dept. Re: Introducing Employee or Dependent for Visa and Passport Photographs	MO/TTM		MO/TTM	
5-250A	6-83	Telecommunication Branch Monthly Work load Report	MO/CPM/TEL		MO/CPM/TEL	
5-255	2-86	Passport Request	MO/TTM	HB 22 Chap. 5	MO/TTM	
5-258	8-69	Reference Material Due Slip	PPC/E/DIU		PPC/E/DIU	
510-1	12-73	Pre-Call Authorization of Long Distance Calls	MO/RM	HB 21	MO/RM/PPM	
510-4	7-84	Outgoing Telegrams Overlay	IRM/CS		MO/RM/PPM	
520-2	4-87	Files Maintenance and Dispositions Plans	MO/PA/RM	HB 21 Pt. II	MO/PA/PPM MO/RM/AP IRM/MPS IRM/AS	
530-1	3-87	Purchase Order (no longer in paper form, done electronically on Zerox 8700)	M/RM/AP		IRM/MPS	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
530-2	7-84	Order for Supplies or Service-Continuation Schedule	MO/RM/AP		MO/RM/AP IRM/MPS IRM/AS	
540-3	10-76	Vehicle Dispatch Analysis Format	MS/OM	HB 23 Chap. 6	MO/RM/PPM	
540-4	4-78	Nonexpendable Property Reconciliation	MS/OM	HB 23 Chap. 4	MO/RM/PPM	
540-4A	4-78	Continuation Sheet for Form A.I.D. 540-4	MS/OM	HB 23 Chap. 4	MO/RM/PPM	
540-5	6-81	Data Element Worksheet for Nonexpendable Property	MO/RM	HB 23	MO/RM/PPM	
540-6	4-82	AID/W Personal Property Inventory Issue/Return Receipt	MO/RM	HB 20	MO/RM/PPM	
540-7	6-82	Record of Financial and Personal Information	PM/TD		PM/TD	
560-8	8-80	Authority for Pick-Up and Packing Only - Air Freight Shipment	MO/TTM	HB 22	MO/RM/PPM	
560-9	12-86	Travel Service Questionnaires	MO/TTM		MO/TTM	
570-1	7-74	Mailing Questionnaire	XA/PA/PI		XA/PA/PI	OMB Approval No. 0412-0503
590-7	10-79	Bibliographic Data Sheet	PPC/E/DIU		PPC/E/DIU	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
6-1	4-81	Request for Security Action	IG/SEC	HB 6	MO/RM/PPM	
6-4	8-81	Record Check Request	IG/SEC	HB 6	IG/SEC	
6-8	4-80	Investigative Report	IG/SEC	HB 6	IG/SEC	
6-8A	8-81	Case Control	IG/SEC	HB 6	IG/SEC/PI	
6-9	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9A	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9B	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9C	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9D	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9E	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9F	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9G	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9H	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9I	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9J	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9K	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9L	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9M	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9N	12-86	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9O	3-87	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9P	3-87	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9Q	3-87	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	
6-9R	3-87	Report of Investigation	IG/SEC	HB 6	IG/SEC/PI	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
6-10	3-85	Request for Clearance (Contract)	IG/SEC	HB 6	MO/RM/PPM	
6-12	11-56	Security File Labels	IG/SEC		MO/RM/PPM	
6-36	6-83	Memo Re: Request for Security Action Follow-up	IG/SEC	HB 6	IG/SEC/PI	
6-74	2-80	Name Check Request	IG/SEC	HB 6	IG/SEC/PI	
6-75	5-65	Cover Record Sheet	IG/SEC		IG/SEC	
6-79	3-81	Report of Other Agency File Review	IG/SEC	HB 6	IG/SEC	
6-83	3-68	Security Updating Index	IG/SEC		IG/SEC	
6-85	6-80	Foreign Residence Data (Supplement)	IG/SEC	HB 6	MO/RM/PPM	
6-93	12-80	Case History Office of Security	IG/SEC	HB 6	IG/SEC	
6-97	9-69	Security Acknowledgement (U.S. Contractor Employees)	IG/SEC	HB 6	IG/SEC	
6-102	2-70	Record of Release of Information	IG/SEC		IG/SEC/PI	
610-1	2-80	Letter to Police Department Re: Inquiry of Record	IG/SEC	HB 6	IG/SEC/PI	
610-4	11-72	Security Retirement Index	IG/SEC	HB 6	IG/SEC/PI	
610-5	11-87	Authorization to Issue Dept. of State Building Pass A	IG/SEC		IG/SEC/PI	
610-5A	11-87	Authorization to Issue Dept. of State Building Pass A	IG/SEC		IG/SEC/PI	
610-6	1-73	Identification Pass Record	IG/SEC		IG/SEC	
610-7	4-80	Request for Investigation for Alien Spouse	IG/SEC	HB 6	IG/SEC	
610-14	2-80	Authority for Information	IG/SEC	HB 6	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
610-15	5-80	Ltr to State Security Re: IG/SEC to Overseas Investigation	IG/SEC	HB 6	IG/SEC	
610-17	6-81	Ltr. Re: Updating Program (AID/W Personnel)	IG/SEC	HB 6	IG/SEC	
610-18	6-81	Ltr. Re: Updating Program (A.I.D. Overseas Personnel)	IG/SEC	HB 6	IG/SEC	
610-19	6-81	Follow-up Ltr Re: (Adm. Office)	IG/SEC	HB 6	IG/SEC	
610-21	2-84	Memo Re: Issuance of Building Pass	IG/SEC	HB 6	IG/SEC	
610-22	7-81	Memo Re: Change of Combination	IG/SEC	HB 6	IG/SEC	
610-23	6-83	National Agency Check	IG/SEC	HB 6	IG/SEC	
610-24	9-82	Credit Bureau Check (Employment Purpose)	IG/SEC	HB	IG/SEC	
610-25	7-84	Notice of Action	IG/I		IG/I	
610-26	7-84	Subpoena Duces Tecum	IG/I		IG/I	
620-1	9-84	Multipurpose Investigation Report	IG/II		IG/II	
620-2	9-84	Report of Interview	IG/II	IG/II	IG/II	
620-4	9-84	Records Review	IG/II		IG/II	
620-5	9-84	IG/II Internal Data	IG/II		IG/II	
620-6	7-85	Incident Report	IG/SEC		MO/PM/D	
620-7	9-86	Consent Statement	IG/II		IG/II	
620-8	9-86	Confidential Fund	IG/II		IG/II	
620-9	9-86	Inventory List	IG/II		IG/II	
620-10	9-86	Evidence Log	IG/II		IG/II	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
620-11	9-86	Evidence List	IG/II		IG/II	
620-12	9-86	Evidence/Property Receipt	IG/II		IG/II	
630-2	12-72	Classified Document Index Card	IG/SEC	HB 6	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
7-7	3-80	Miscellaneous Obligation Document	FM/WAOD	HB 19	MO/RM/PPM	
7-27	9-79	Letter of Commitment	FM/PAFD/ BPCB	HB 4	FM/PAFD/BPCB	
7-28	11-64	Amendment to Letter of Commitment	FM/PAFD/ BPCB	HB 4	FM/PAFD/BPCB	
7-46	1-84	Mission Advice of Charge(s)	FM/ASD	HB 18	MO/RM/PPM	blank cut (Non-MACS USAID Use only)
7-47A	2-88	Employee Accountability Clearance for Separation/Transfer	PM/FSP/EEE FM/WAOD	HB 19, Chap. 14B	MO/RM/PPM	
7-49	2-82	Notice of Allowable Travel/Transit Time While in Travel Status	FM/WAOD	HB 27	MO/RM/PPM	
7-54	11-86	Cash Journal (No longer in paper form, done electronically on the Xerox 8700)	FM/CAD		IRM/AS	
7-123	7-72	Signature of Certifying Officer	FM/CAD		MO/RM/PPM	
7-125	2-85	General Ledger Trail Balance Part I	FM/CAD		FM/CAD	
7-126	1-68	Quarterly Reconciliation Statement of Payroll Deductions and Employer Contributions	FM/CAD		MO/RM/PPM	Report Control Symbol U-405
7-128	11-83	Notice of Collection Adjustment	FM/CAD	HB 19	MO/RM/PPM	
7-129	1-83	Bill for Collection	FM/CAD	HB 19, Chap. 7	MO/RM/PPM	
7-148	12-83	AID/W Advice of Charge	FM/CAD		IRM/AS	
7-158	2-63	Request for and Advice of Allotment	FM/WAOD	HB 19	MO/RM/PPM	
7-226	9-79	Letter of Commitment	FM/PAFD/BPCB		FM/PAFD/BPCB	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
7-226A	3-63	Letter of Commitment Continuation Sheet	FM/PAFD/BPCB		FM/PAFD/BPCB	
7-226B	1-77	General & Provision Application to, and Rights and Responsibilities of Bank Under, This letter of Commitment	FM/PAFD/BPCB		FM/PAFD/BPCB	
7-226C	8-83	Definitions Under This Letter of Commitment	FM/PAFD/ BPCB	HB 4,B Chap. 4	FM/PAFD/BPCB	
7-226D		A.I.D. Geographic Codes	FM/PAFD/ BPCB	HB 4, Chap. 4	FM/PAFD/BPCD	
7-226E	7-72	Documents Required for Reimbursement by A.I.D. for Engineering and Other Professional Services But Not Including Commodity-Related Service	FM/PAFD		FM/PAFD/BPCD	
7-226F	7-72	Documents Required for A.I.D. for Construction Services, Including Costs of Contractor Procured Equipment, Materials, & Commodities Including Commodity Related Services	FM/PAFD/BPCB		FM/PAFD/BPCB	
7-226G	7-72	Documents Required for Reimbursement by A.I.D. for Commodities & Commodity-Related Services (Not Including Progress Payments)	FM/PAFD/ BPCB		FM/PAFD/BPCB	
7-226H	7-72	Documents Required For Procurement of Commodity Under Contractor Providing for Progress and/or Final Acceptance Payments	FM/PAFD/ BPCB		FM/PAFD/BPCB	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
7-226I	7-72	Documents Required for Reimbursement by A.I.D. for Bank Changes Under Letter of Commitment	FM/PAFD/ BPCB		FM/PAFD/BPCB	
7-235	10-67	Journal of Treasury Schedules for Personal Services and Benefits	FM/WAOD		FM/WAOD	
7-236	5-68	Report of Billing and Collection	FM/CAD	HB 19	MO/RM/PPM	Report Control Symbol U-141 Prepared by IRM/AS
7-250	10-63	Temporary Individual Retirement Record	FM/WAOD		FM/WAOD	
7-251	11-63	Status of Advances to Contractors	FM/PAFD		FM/PAFD	
7-253	4-79	Cover Sheet for Loan Activity Report	FM/LMD		FM/LMD	Report Control Symbol W-244
7-253C	10-76 (Pg. 2, 4-82)	Schedule II - Schedule of Loan Authorization Non-project Assistance	FM/LMD	HB 19	FM/LMD FM/LMD	Report Control Symbol W-244
7-254	2-66	Certificate of Contractor Performance	FM/PAFD		MO/RM/PPM	
7-257	6-75	Country Financial Report	FM/CAD		IRM/AS	
7-270	5-65	Accounts Receivable Batch Control Ticket	FM/CAD		FM/CAD	
7-307	8-70	Monthly Allotment Journal and Data Processing Abstract	FM/CAD		FM/CAD	
7-314	8-84	Time & Attendance Report (Foreign National)	FM/WAOD	HB 27	MO/RM/PPM	
7-316 (T)	9-86	Status of Loan Implementation (No longer in paper form, done eletronically on the Xerox 8700)	FM/LMD	HB 19 Chap. 6	IRM/AS	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
7-320	10-67	Payroll Reconciliation	FM/WAOD		FM/WAOD	
7-321	8-70	Allotment Accounting Detail Corrections	FM/WAOD		FM/WAOD	
7-347	9-76	Housing Guaranty Ledger	FM/LMD		FM/LMD	
7-352	1-70	Records of Cash Count	FM/CAD		FM/CAD	
7-354	8-78	Computer Leave Adjustment Abstract	FM/WAOD		MO/RM/PPM	
7-358	6-79	Status of Foreign Currency	FM/CAD	HB 19	FM/CAD	
710-1	5-85	Entity Processing Code Sheet	FM/WAOD		FM/WAOD	
710-2	11-85	Responsibility of A.I.D.-Financed Travelers Using Invitational Travel Orders	MO/PP	HB 22	MO/RM/PPM	
712-2	6-71	Interim PASA Funding Documents	FM/PAFD	HB 19	MO/RM/PPM	
730-3A	2-75	Allotment Accounting Correction Format Error Correction Sheet I	FM/CAD		FM/CAD	
730-3B	11-77	Allotment Accounting Correction Format-Error Correction Sheet II	FM/CAD		FM/CAD	
730-3C	2-75	Allotment Accounting Format-Error Correction Sheet III	FM/CAD		FM/CAD	
730-3D	2-75	Allotment Accounting Correction Format - Error Correction Sheet IV (Supplement)	FM/CAD		FM/CAD	
730-4	8-75	Disbursement Coding Sheet	FM/CAD		FM/CAD	
730-5	11-77	Transaction Coding Sheet	FM/CAD		FM/CAD	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
730-6	11-77	Source Supplier	FM/PAFD/ BPCB		FM/PAFD/ BPCB	
730-7	12-77	Commitment Liquidation/Control Record	FM/CAD	HB 19	Mission	
730-8	12-77	Project Ledger	FM/CAD	HB 19	FM/CAD	
730-9	3-78	Obligation Coding Sheet	FM/CAD		FM/CAD	
730-10	3-80	TFS 2108 Worksheet	FM/CAD		FM/CAD	
730-11	4-83	Mission Advice of Charge	FM/C		MO/RM/PPM	Continuous Pinfeed (MACS USAID Use Only)
731	4-87	Schedule of Voucher and Payment (WANG VS Generated Forms)	FM/ASD		USAID's	Continuous Pinfeed (USAID Financial Management Centers Only)
740-2	10-79	Direct Reimbursement Authorization	FM/LMD	HB 19, Chap. 6	FM/LMD	
740-3	4-74	Advice of Budget Allowance	FM/CAD		MO/RM/PPM	
750-2	4-74	Coding Sheet for Disbursements and Collections	FM/LMD		FM/LMD	
750-3	4-74	Coding Sheet for Corrections	FM/LMD		FM/LMD	
750-7	6-67	Summary of Allotment Ledger Transaction - Reconciliation with Disbursing Officer's Accounts	FM/CAD		FM/CAD	
750-12	1-77	Coding Sheet for Addresses	FM/LMD		FM/LMD	
750-14	11-78	Status of Travel Advance Account	IRM/SM		IRM/SM	
750-15	11-79	Outstanding Travel Advance Statement of Settlement Through Payroll Deduction	FM/WAOD	HB 19	FM/WAOD	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
750-17	5-85	Receipt for Payment	FM/CAD	HB 18, Chap. 13	FM/CAD	
760-9	1-87	Statement of Earning And Leave (Form done electronically on the Xerox 8700)	FM/WAOD	HB 27	IRM/SM	Prepared by IRM/AS
760-10	6-84	Time & Attendance Report	FM/WAOD	HB 27, Chap. 1	IRM/AS MO/RM/PPM	
760-10A	6-84	Adjustment T&A	FM/WAOD	HB 27, Chap. 1	FM/WAOD	
760-11M(a)	10-81	Leave Record - Part Time 1982	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11N	12-82	Leave Record - 1983	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11O	11-83	Leave Record - 1984	FM/WAOD	HB 27	FM/WAOD (snapout) MO/PM/D (blank cut)	
760-11O(a)	11-83	Leave Record Part Time - 1984	FM/WAOD	HB 27	FM/WAOD (snapout) MO/PM/D (blank cut)	
760-11P	10-84	Leave Record - 1985	FM/WAOD	HB 27	FM/WAOD (snapout)	
760-11P(a)	10-84	Leave Record Part Time - 1985	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11Q	10-85	Leave Record-1986	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11Q(a)	10-85	Leave Record Part Time 1986	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11R	2-86	Leave Record -1987	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11R(a)	2-86	Leave Record-Part Time 1987	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11R(b)	2-86	Leave Record 1987	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
760-11R(c)	2-86	Leave Record Part Time 1987	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11S	12-87	Leave Record 1988	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11S(a)	12-87	Leave Record 1988	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11S(b)	12-87	Leave Record Part Time 1988	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-11S(c)	12-87	Leave Record Part Time 1988	FM/WAOD	HB 27	FM/WAOD (snapout) MO/RM/PPM (blank cut)	
760-14B	5-72	Bond Authorization Transmittal	FM/WAOD		FM/WAOD	
760-14C	5-72	Country Address Transmittal	FM/WAOD		FM/WAOD	
760-14D	4-84	SF 50 Transmittal	FM/WAOD	HB 19&27	FM/WAOD	
760-14F	2-85	Tour, FEHBA, Tax, Leave and Other Deduction Transmittal	FM/WAOD	HB 19	FM/WAOD	
760-14G	5-72	W-2 Address Transmittal	FM/WAOD	FM/WAOD		
760-14I	5-72	Adjustments Transmittal	FM/WAOD	FM/WAOD		
760-14J	5-76	Miscellaneous Transmittal	FM/WAOD	FM/WAOD		
760-14K	7-80	Financial Organization Transmittal	FM/WAOD		FM/WAOD	
760-17	12-83	Fiscal Year Cost Adjustment Code Sheet	FM/WAOD		FM/WAOD	
760-18	7-72	Time & Attendance Batch Control	FM/WAOD	HB 27	MO/RM/PPM	
760-19	7-72	Time & Attendance Batch Control Ticket-Nonexception	FM/WAOD	HB 27	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
760-22	4-84	Designation of T&A Clerk (Timekeeper)	FM/WAOD	HB 27, App. D and HB 19, Chap. 14	MO/RM/PPM	
760-23	9-81	Travel Schedule and Projected Leave Charges	FM/WAOD		MO/RM/PPM	
760-24	11-72	Timekeeper Unit Code Changes	FM/WAOD	HB 27	MO/RM/PPM	
760-25A	1-73	Health Insurance Table Input Transmittal	FM/WAOD		FM/WAOD	
760-25B	1-73	Life Insurance Table Input Transmittal	FM/WAOD		FM/WAOD	
760-25E	1-73	Bond Table Input Transmittal	FM/WAOD		FM/WAOD	
760-25F	1-73	Agency ID 1 Table Input Transmittal	FM/WAOD		FM/WAOD	
760-25I	1-73	Post Differential Table Input Transmittal	FM/WAOD		FM/WAOD	
760-25K	1-73	State Code Table Input Transmittal	FM/WAOD		FM/WAOD	
760-25L	1-73	SSAN Range Table Input Transmittal	FM/WAOD		FM/WAOD	
760-25M	1-73	Agency Code Table Input Transmittal	FM/WAOD		FM/WAOD	
760-25N	1-73	Pay Raise Table Input Transmittal	FM/WAOD		FM/WAOD	
760-25T	1-73	Special Salary AOSC Table Input Transmittal	FM/WAOD		FM/WAOD	
760-26	7-78	Report of Leave Audit	FM/WAOD	HB 27	FM/WAOD	
760-31	7-80	Court Ordered Child Care Alimony Payment	PM/ERS	HB 26, Chap. 6	PM/ERS	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
760-33	8-80	Payroll Certification and Summary	FM/USAID	4 FAM Series 500	MO/RM/PPM	For USAID'S Only
760-33A	9-76	Payroll Certification and Summary	FM/USAID	4 FAM Series 500	MO/RM/PPM	For USAID's Only
760-34	9-76	Pay Change Record	FM/USAID	4 FAM Series 500	MO/RM/PPM	For USAID'S Only
760-35	3-80	Foreign Service Pay Card for Local Employees	FM/USAID	4 FAM	MO/RM/PPM	For USAID'S Only
760-40	1-82	Check Information Request	FM/CAD		FM/CAD	
760-41	4-82	Certification for Purpose of Withholding Tax on Lump-Sum Payment at Retirement	FM/WAOD	HB 19	MO/RM/PPM	
760-42	5-82	Request for Advance of Pay for Overseas Assignment	FM/WAOD	HB 19	MO/RM/PPM	
760-43	4-83	Payroll Change Slip	FM/WAOD	HB 19 & 27	FM/WAOD	
770-1	8-80	Delegation of Obligating Authority	FM/CONT	HB 19	MO/RM/PPM	
780-4	10-72	Financial Management Control Sheet	FM/PAFD		FM/PAFD	
780-10	1-81	Return of Transportation Voucher	FM/WAOD	HB 22	FM/WAOD	
780-11	11-72	Batch Control Ticket	FM/CAD		FM/CAD	
780-12	10-79	Return of Travel Voucher	FM/WAOD/TT	HB 22	FM/WAOD/TT	
780-14	2-80	Return of Application for Travel Advance	FM/WAOD/TT	HB 22	FM/WAOD/TT	
780-15	1-83	Acceptance Report for Services or Property Procured Under A.I.D. Contract	FM/WAOD	HB 19	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
8-2	10-64	Data for Hometown News Stories	XA/PA/M	HB 18, Chap. 17, Pt. III	MO/RM/PPM	
810-2	2-75	Freedom of Information Cover Sheet Record	XA/PA/PA	HB 18, Pt. III	XA/PA/PI	
830-2	8-83	Communication Review Board-Request for Approval: Communiations Product	XA/PA	HB 18, Pt. 1 Chap. 7	XA/PA	
830-3	9-84	Proposal to Charge User Fees for an A.I.D. Publication	MO/PP	HB 18, Pt. III, Chap. 13	MO/RM/PPM	
830-4	9-84	Computation of User for Secondary Distribution	MO/PP	HB 18	MO/RM/PPM	
830-5	10-86	Post-Card Re: Response to Inquires for A.I.D. Publication	MO/PP	HB 18, Pt. III, Chap. 13	MO/RM/PPM	
830-6	5-85	Check-off List Response Form	PPC/CDIE/DI		PPC/CDIE/DI	
830-7	5-85	Service Request Control Form	PPC/CDIE/DI		PPC/CDIE/DI	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
950-1	8-74	Summary Time Record	IG/PP		IG/PP	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
1010-2	12-85	Application for Assistance Under Section 214	FVA/ASHA		FVA/ASHA	OMB Approval No. 0412-0011
1010-7	10-86	Host Country Contract Data Sheet	FM/CAD		MO/RM/PPM	
1020-28	1-73	Project Design Summary Logical Framework	PPC/PE		MO/RM/PPM	Page 1, Supplements 2-4

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
11	2-88	Application for Approval of Commodity Eligibility	M/SER/OP/COMS	HB 15, Chap. 2	MO/RM/PPM	Supplier's Certificate OMB Approval No. 0412-0004
11-83	5-80	Abstract of Bids	M/SER/OP/COMS	HB 15, (A.I.D. Reg. 1) HB 11	MO/RM/PPM	
11-94	6-80	Document Distribution and Shipping Instructions	M/SER/OP/COMS	HB 15	MO/RM/PPM	
1120-1	5-82	Program Assistance Approval Document	PPC/PDPR/SP	HB 4, Ch. 3, App. 3B	MO/RM/PPM	
1130-1	2-81	CPI - Commodity Procurement Instruction	M/SER/OP/COMS	HB 4, Ch. 5	MO/RM/PPM	
1130-2	1-65	FR - Financing Request	FM/PAFD/ BPCB	HB 4, Ch. 5	MO/RM/PPM	
1130-2A	1-65	FR - Continuation	FM/PAFD/ BPCB	HB 4, Ch. 5	MO/RM/PPM	
1130-3	1-65	DRA - Direct Reimbursement Approval	FM/PAFD/	HB 4, Ch. 5	MO/RM/PPM	
1130-4	3-75	Textile Fabric Supplier's Certification	M/SER/OP/COMS	HB 15, Ch. 2	MO/RM/PPM	
1130-8	3-75	Certificate Regarding Rebuilt or Reconditioned Engines and Parts or Assemblies for Engines and Vehicles	M/SER/OP/COMS	HB 15, Ch. 2	MO/RM/PPM	
1160-4	9-63	Procurement Authorization	FVA/FFP/POD		FVA/FFP/POD	
1160-5	7-69	PA/PR-Procurement Authorization/Purchase Requisition	M/SER/OP/COMS	HB 15, Ch. 4 HB 9, Exh B	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
1300-1	6-80	Continuation Sheet for PIO's and PA/PR's	SER/COM	HB 15	MO/RM/PPM	
1330-2	8-79	Project Indentication Document Facesheet (PID)	PPC/PDPR/SP	HB 3, Chap. 3 App. 2A	MO/RM/PPM	
1330-4	8-79	Project Data Sheet	PPC/PDPR/SP	HB 3, Chap. 3, App. 3A	MO/RM/PPM	
1330-5	10-87	A.I.D. Evaluation Summary w/Instructions	PPC/CDIE	HB 3	MO/RM/PPM	Replaces 1330-15
1330-15A	3-78	Project Evaluation Summary (PES)-Part II	PPC/PE		MO/RM/PPM	Report Control Symbol U-447
1330-15B	3-78	Instructions for Completing forms A.I.D. 1330-15 & 15A, PES-Parts I & II	PPC/PE		MO/RM/PPM	Report Control Symbol U-447
1330-17	5-79	Limited Scope Grant Project Agreement	GC/AFR	HB 3, Chap. 9	MO/RM/PPM	
1330-17A	5-79	Project Agreement Amendment	GC/AFR	HB 3, Chap. 9	MO/RM/PPM	
1330-17B	5-79	Project Agreement-Annex A Project Description	GC/AFR	HB 3. Chap. 9	MO/RM/PPM	
1330-17C	5-79	Project Implementation Letter (PIL)	GC/AFR	HB 3, Chap. 9	MO/RM/PPM	
1330-17D	5-79	Project Agreement Standard Provisions Annex	GC/AFR	HB 3, Chap. 9	MO/RM/PPM	
1330-19	8-79	Information Retrieval Request	PPC/PDPR/ PDI	HB 3, Chap. 2, App. 8	MO/RM/PPM	
1350-1	3-87	PIO/T - Project Implementation Order/Technical Service	M/SER/OP	HB 3, Supp. A (POG)	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
1370-1	10-79	PIO/C - Project Implementation Order/Commodities	M/SER/OP/COMS	HB 15, App. D7	OP/COMS	
1380-1	12-79	PIO/P - Project Implementation Order/Participants	S&T/IT	HB 10, Chap. 12	MO/RM/PPM	
1380-1A	12-79	PIO/C Confirmation Copy	FM/PAFD	HB 10, Chap. 12	FM/PAFD	
1380-5	3-81	Dependent Certification	S&T/IT	HB 10	MO/RM/PPM	
1380-7	3-81	Monthly Report of Third Country Training	S&T/IT	HB 10	MO/RM/PPM	Report Control Symbol U-137
1380-11	8-83	Referral of Participant for English Instruction	S&T/IT	HB 10	S&T/IT	Report Control Symbol U-1380/3
1380-12	3-81	Recommendation of Participant to American Professional Society	S&T/IT	HB 10	S&T/IT	
1380-17	5-80	Letter to Participant - Re: Extension of Expiring Visa	S&T/IT	HB 10	MO/RM/PPM	
1380-18	9-64	Program Itinerary and Travel Request	S&T/IT	HB 10	MO/RM/PPM	
1380-39	12-79	Participant Identification Card	S&T/IT	HB 10, Chap. 22	S&T/IT	
1380-45	6-81	Participant's Monthly Location and Expenditure	S&T/IT	HB 10, Chap. 25	S&T/IT	
1380-58	6-81	Document Checklist	S&T/IT	HB 10	S&T/IT	
1380-69	1-81	Academic Enrollment and Term Report	S&T/IT	HB 10	MO/RM/PPM	
1380-76	6-81	Check Request for Participants	S&T/IT		S&T/IT	
1380-80	3-69	Interpreter Evaluation	S&T/IT		S&T/IT	
1380-88	11-83	Participant Seminar Registration	S&T/IT	HB 10	S&T/IT	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
1380-94	4-77	Training Notice	S&T/IT		S&T/IT	
1380-95	8-80	Participant Training Budget Work Sheet	S&T/IT	HB 10, Chap. 2	MO/PM/D	
1380-99	5-80	Participant Insurance ID Card	S&T/IT		S&T/IT	
1381-1	1-81	Community Service and Hospitality Request	S&T/IT		S&T/IT	
1381-2	3-81	A.I.D. Contractor Report Status	S&T/IT	HB 10	S&T/IT	
1381-4	6-83	Participant Data	S&T/IT	HB 10	S&T/IT	
1381-5	2-88	Request for Permission of Participants to Work	OIT/RS	HB 10	OIT/RS	
1381-5A	2-88	Request for Approval of A.I.D. Sponsored Participant to Work	OIT/RS	HB 10	OIT/RS	
1381-6	4-88	Conditions of Training - English	OIT/IT	HB 10	OIT/IT	
1381-6A	4-88	Conditions of Training - Spanish	OIT/IT	HB 10	OIT/IT	
1381-6B	4-88	Conditions of Training - Arabic	OIT/IT	HB 10	OIT/IT	
1381-6C	4-88	Conditions of Training - French	OIT/IT	HB 10	OIT/IT	
1382	6-87	Guide to Medical Fitness Standard for Applicants (English)	S&T/IT/RS	HB 10	S&T/IT/RS	
1382-1	6-87	Medical History & Examination for Foreign Applicants (English)	S&T/IT/RS	HB 10	S&T/IT/RS	
1382-2	6-87	Guide to Medical Fitness Standards for Foreign Applicants (Spanish)	S&T/IT/RS	HB 10	S&T/IT/RS	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
1382-3	6-87	Medical History & Examination for Foreign Applicant (Spanish)	S&T/IT/RS	HB 10	S&T/IT/RS	
1382-4	6-87	Guide to Medical Fitness Standards for Foreign Applicants (Arabic)	S&T/IT/RS	HB 10	S&T/IT/RS	
1382-5	6-87	Medical History & Examination for Foreign Applicants (Arabic)	S&T/IT/RS	HB 10	S&T/IT/RS	
1382-6	6-87	Guide to Medical Fitness Standards for Applicants (French)	S&T/IT/RS	HB 10	S&T/IT/TR	
1382-7	6-87	Medical History & Examination for Foreign Applicants (French)	S&T/IT/RS	HB 10	S&T/IT/RS	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
1410-12	8-82	Solicitation Notices	M/SER/OP	HB 14	MO/RM/PPM	
1410-14	2-81	Small Business/Minority Enterprise Procurement Review Form	M/SER/OP	HB 14	MO/RM/PPM	
1415-2	5-82	Preacquisition Field Inspection Report	M/SER/OP/PS/OCC	HB 16	M/SER/OP/PS/OCC	
1415-4	12-81	Final Inspection Checklist (FICL)	M/SER/OP/PS/OCC	HB 16	M/SER/OP/PS/OCC (New Cumberland, PA)	
1415-5	4-78	Equipment Inspection Maintenance Worksheet	M/SER/OP/PS/OCC		M/SER/OP/PS/OCC (New Cumberland, PA)	
1415-5A	4-78	Equipment Inspection and Maintenance Worksheet - Continuation Sheet	M/SER/OP/PS/OCC		M/SER/OP/PS/OCC (New Cumberland, PA)	
1420-2	2-75	A.I.D. Cost-Reimbursement Contractor Allowances-Applicability of Standardized Regulations	SER/OP/SUP	HB 14	RM/PPM	
1420-8	5-69	Mailing List Application	SDB		SDB	
1420-17	3-80	Contractor Employee Biographical Data Sheet	SER/PM	HB 14	MO/RM/PPM	
1420-27F	3-74	Contract for Participant Training (Individual)	S&T/IT	HB 14	S&T/IT	
1420-27G	3-74	Contract for Participant Training (Group)	S&T/IT	HB 14	S&T/IT	
1420-27H	7-76	General Provisions - Contract for Participant Training	S&T/IT	HB 14	MO/RM/PPM	
1420-36A	4-88	Cover Sheet - Contract with a U.S. Citizen or U.S. Resident Alien for Personal Services Abroad	SER/PPE	HB 14, App. D	MO/RM/PPM	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
1420-36B	4-88	Contract with a Cooperating.. Contract with a Third Country National	SER/PPE	HB 14	MO/RM/PPM	
1420-40	11-72	Contractor's Release and/or Assignment of Refunds, Rebates, Credits	M/SER/OP	HB 14	OP/PS/SUP	
1420-47	8-80	Negotiated Indirect Cost Rate Agreement	M/SER/OP/PS/ OCC	HB 14	OP/PS/OCC	
1420-49	8-83	Contract Agreement Data Sheet	CM/SD/SS	CIB 82-88	OP/PS/SUP (NCR sets) (blank cut) Mission use only	
1420-50	4-88	A.I.D. Consultant Registry Information System (ACRIS) Organization and Individual Profile	SDB		SDB	OMB Approval No. 0412-0510
1420-51	2-82	U.S. Grantees & U.S. Educational Institutions Standard Provisions	SER/OP	HB 13, App. 4C	MO/PM/D	OMB Approval No. 0142-0510
1420-52	2-82	U.S. Grantees U.S. Subgrantees Nonprofit Organizations Other Than Educational Institutions Standard Provision	SER/OP	HB 13, App. 4C	MO/PM/D	OMB/Approval No. 0412-0510
1420-55	11-86	Notification of Acquisition or Assistance Award of $50,000 or more to U.S. Organization	M/SER/OP	CMAM 82-4	OP/PS/SUP	
1420-56	5-83	Blanket Order Request	MO/RM/BMB		MO/RM/BMB	
1420-57	4-84	ASSET Supplier Information Form	SDB		SDB	OMB Approval No. 0412-0516
1420-58	4-84	ASSET Report Request	SDB		SDB	OMB Approval No. 0412-0515

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
1420-59	8-87	Schedule of Competitive Contracts	M/SER/OP		OP/PS/SUP	
1420-60	2-86	Financial Management for Contracts and Grants	FM/PAFD		FM/PAFD	
1420-61	7-87	Indefinite Quantity Contract (IQC) Delivery Order (Inc. FAR & AIDAR Clauses)	M/SER/OP		SER/OP/PS/ SUP	
1420-61A	7-87	Indefinite Quantity Contract (IQC) Work Order (Inc. FAR & AIDAR Clauses)	M/SER/OP		SER/OP/PS/ SUP	
1430-2	1-88	Mission Activity Addresses used in Commodity Procurement under FEDSTRIP/MILSTRIP	M/SER/OP		SER/OP/COMS	
1430-3	7-72	Mission Supplementary Address Used in FEDSTRIP/MILSTRIP	M/SER/OP	HB 15	SER/OP/COMS	
1440-3	4-88	Contractor's Certificate and Agreement w/A.I.D. Contractor's Abstract	FM/PAFD/	HB 11, Chap. 1 & 2	MO/PM/D	OMB Approval No. 0412-0017
1450-1	3-80	Report of Violation Marking Requirements	SDB	HB 15, App. H5	MO/RM/PPM	Report Control Symbol U-511
1450-3	7-79	Borrower's Shipping Statement	SER/COM	HB 15, App. H5	COM/TR	
1450-3A	7-79	Continuation Sheet for A.I.D. 1450-3	SER/COM	HB 15,	COM/TR	
1450-4	12-87	Supplier's Certificate and Agreement with A.I.D. for Project Commodities	SER/OP	HB 11, Chap. 3	MO/RM/PPM	OBM Approval No. 0412-0020
1450-5	2-88	Cargo Booking Confirmation (Ocean Carrier)	COM/TS	COM/TS		

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
1550-1	5-77	Voluntary Agency and Carrier Certificate	FVA/PVC		FVA/PVC	OMB Approval No. 0412-0014
1550-2	10-86	Statement of Support Revenue and Expenditures	FVA/PVC	HB 3	FVA/PVC	OMB Approval No. 0412-0035
1550-3	3-84	Title II, PL 480 Commodities Annual Estimates of Requirements	FVA/FFP/POD	HB 9, Exh. E-1 & 2	FVA/FFP/POD	OMB Approval No. 0412-0014
1550-6	6-81	Voluntary Agency Quarterly Report of Shipping Activity	FVA/PVC		MO/PM/D	OMB Approval No. 0412-0014
1550-11	8-85	PVI Project Reporting Information on A.I.D. Supported PVO Project	FVA/PVC		FVA/PVC	OMB Approval No. 0412-0530
1560-9	7-77	Operations Log	OFDA		OFDA	
1570-8	4-81	World Food Program Activity Card	FVA/FFP		FVA/FFP	
1570-10B	5-76	Project Card World Food Program - 1977-78	FVA/FFP	HB 9, Chap. 10	FVA/FFP	

A.I.D. Form Number	Revision Date	Title	Requiring Office	Authority	Stocked by	Additional Information
1610-4	1-83	Project Report for Inventory of Federal Research in Population	S&T/POP/R		S&T/POP/R	Report Control Symbol 1235-HEW-AH
1620-8	7-84	National Association for Equal Opportunity in Higher Education (NAFEO)- Individual Profile	S&T/RUR		S&T/RUR	OMB Approval No. 0412-0522
1620-9	7-84	National Association for Equal Opportunity in Higher Education (NAFEO)- Institutional Profile	S&T/RUR		S&T/RUR	OMB Approval No. 0412-5021

Handbook 18
Information Services

Appendix B

Listing of Recurring Reports

GENCY for INTERNATIONAL DEVELOPMENT
DEPARTMENT of STATE
WASHINGTON, D.C. 20523

APPENDIX B

Listing of Recurring Reports

TABLE OF CONTENTS

APPENDIX B - LISTING OF RECURRING REPORTS

INTRODUCTION

PART I - INTERNAL REPORTS

A. AID/W Recurring Reports
B. Mission Recurring Reports

PART II - PUBLIC REPORTS - OMB APPROVED

PART III - INTERAGENCY REPORTS

A. Required by AID
B. Required of AID

PART IV - CONGRESSIONAL REPORTS AND PRESIDENTIAL DETERMINATION

PART V - REPORTS REQUIRED INTERNALLY BY AID BUREAU, OFFICE, OR MISSION (FORMAT)

INTRODUCTION

This Appendix lists all controlled recurring reports for which the Agency must gather, maintain, and submit information on a continuing basis. The three broad groups of reporting requirements are those which are levied upon the Agency by an outside authority, such as the Congress or another U.S. Government Agency, those reporting requirements which are developed within the Agency and those reporting requirements levied upon the public by AID.

1. Reports Required of the Agency

   Reporting requirements are levied upon the Agency by legislation, Congressional committees, or members of the Congress. Additional outside reporting requirements are imposed upon the Agency by other U.S. Government agencies in the performance of their unique functions. These reports comprise the reports listed in Part IV, Congressional Reports and Presidential Determinations, and in Part III B, Interagency Reports Required of AID. For each report an AID/W office is designated as the sponsoring office to gather the required data, consolidate it and put it into the format defined by the requiring authority.

2. Reports Required by AID

   Many of the reports required of AID by outside authority also provide information required for the internal guidance, management, and evaluation of Agency programs and projects. However, these reports do not provide all the information required for the efficient operation of the Agency, and reporting requirements have been imposed by offices and bureaus within the Agency upon other AID bureaus, offices and Missions, as well as upon other U.S. Government agencies. These reports are listed in: Part I A, AID/W Recurring Reports; Part I B, Mission Recurring Reports; and Part III A, Interagency Reports Required by AID.

3. Reports Required of the Public

   Any form which must be completed by 10 or more members of the public in order to do business with the Agency is considered a public-use report and is controlled by the Office of Management and Budget (OMB). These reports are listed in Part II, Public Reports.

PART I

INTERNAL REPORTS

A. AID/W Recurring Reports

The reports required of AID/W offices are indicated by a report control symbol which is prefaced by a "W."

B. Mission Recurring Reports

The reports required of the Missions are indicated by a report control symbol which is prefaced by a "U."

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
A. AID/W RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	BUREAU FOR FOOD FOR PEACE AND VOLUNTARY ASSISTANCE (FVA)					
W-409	Voluntary Foreign AID Programs (Statistics on commodities and funds for relief and rehabilitation by American Voluntary agencies registered with AID. Also contains register of qualified voluntary agencies GAO Accession #17701013	Annually	None (Voluntary Report)	N/A	FVA/PVC	Members of Congress, Library of Congress, USDA Commerce, State, and others. Registered Voluntary Agencies, Advisory Committee on Voluntary Foreign Aid Members, Overseas Missions & Offices, Universities, Libraries Int'l organitions, foundations, and foreign grantees & general inquiries (2000)

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
A. AID/W RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	OFFICE OF ADMINISTRATIVE SERVICES (MS/AS)					
W-155	Annual Summary of Record Holdings	Annually	HB 21-II Ch. 7	AS/ISS/RM	AID/W and Overseas	None
W-156	Inventory Emergency Operating Records	Annually	HB 21-II Ch. 7	AS/ISS/RM	AID/W and Overseas	None
W-157	Inventory of Rights and Interest Records	Annually	HB 21-II Ch. 7	AS/ISS/RM	AID/W and Overseas	None

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
A. AID/W RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	OFFICE OF PROCUREMENT (MS/OP)					
W-442	AID-Financed University Contracts and Grants (Information on all AID university contracts	Annually	None (Voluntary Report)	N/A	OP/PS	AID, other Gov't agencies, firms, libraries, universities, Congress (800)
W-443	Current Technical Service Contracts and Grants	Annually	None (Voluntary Report)	N/A	OP/PS	AID, other Gov't agencies, firms, libraries, universities Congress (1500)
W-444	Salary Approvals that Exceed the FS-1 Maximum Level	Semi-annually	HB 14 AIDAR Appendix G	Deputy Administrator	OP/PS	Deputy Administrator (1)
W-1130	Ocean Transportation Monthly Detail and Summary Report	Monthly	HB 15, Ch. 7	MS/OP/ TRANS	FM/CAR/ EA	MS/OP/TRANS
W-1380/4	Listing of PIO/C Transaction	Monthly	HB 15, Ch. 7	MS/OP/ TRANS	FM/CAR/ EA	MS/OP/TRANS
W-1420/1	List of Contractors and Addresses for Indefinite Quantity Contracts and Requirements Contracts (IQC)	Annually	None (Voluntary Report)	N/A	OP/PS	Overseas Missions, Bureaus (as requested)
W-1420/2	IQC Usage Report	Quarterly	None (Voluntary Report)	N/A	OP/PS	CM offices, all Bureaus (60)

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
A. AID/W RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	OFFICE OF FINANCIAL MANAGEMENT (FM)					
W-208	Flash Report - Financial Status of FY Program (Status of OYB Planning levels and status of fiscal year obligations for regional programs and summary of all appropriations at the end of each month)	Monthly	None	N/A	FM/CAR	Regional Bureaus, PPC, MS/OP, OMB, SAC, HAC (200)
W-208A	World-Wide Flash Report - Operating Expenses	Monthly	None	N/A	FM/CAR	PPC, Regional Bureaus
W-209	Country Financial Report	Quarterly	None	N/A	FM/CAR	PPC, Regional Bureaus
W-210	Financial Summary - Foreign Economic Assistance	Quarterly		N/A	FM/CAR	AID, other Government Agencies, Congress

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
A. AID/W RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	FM (Continued					
W-211	Appropriation Allotment Report (Information on AID's obligation and disbursement activities by country)	Quarterly	None	N/A	FM/CAR	Regional Bureaus, PPC, FM/FC (50)
W-211A	Appropriations Allotment Report (Same as above but by appropriation)	Quarterly	None	N/A	FM/CAR	PPC, Regional Bureaus
W-213	Status of Foreign Currency Funds (Status of foreign currency owned by U.S. in which AID has an interest and/or accountability)	Quarterly	None	N/A	FM/CAR	(375)
W-214	AID Program Assistance Transaction Detail of Loan and Grant Activity (Details of program assistance activity obligations, disbursing authorizations and expenditures at disbursing authorization level whether loan or grant)	Monthly	None	N/A	FM/LM	Overseas Missions & Offices, PPC, MS/OP (12)

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
A. AID/W RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	FM (Continued)					
W-224	Status of Loan Agreements (Information on financial status of loan agreements, including amounts of loans, disbursements, collections, interest collections)	Quarterly	HB 19, Ch. 6	N/A	FM/LM	Treasury, Commerce, Regional Bureaus, PPC, OPIC (375)
W-224A	Status of Loan Implementation - AID Dollar Loans (Information on loan program implementation)	Monthly	None (Voluntary Report)	N/A	FM/LM	Regional Bureaus, PPC
W-224C	Loans Requiring Loan Officer Attention (Management by exception report on loan conditions)	Monthly	HB 19, Ch. 6	N/A	FM/LM	Regional Bureaus (40)
W-224F & G	Monitoring Reports for Terminal Dates for Signing Loans and for Terminal Completion Dates	Monthly, (Voluntary	None Report) PD-57, AIDTO Circ. A-24	N/A	FM/LM	Regional Bureaus and USAID's
W-239	Financial Summary - Housing and other Credit Guaranty Programs (Information on financial and program status of Investment Guaranty Program)	Monthly, Quarterly	HB 7	APRE/H	FM/LM	(65-Monthly) (290-Quarterly)

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
A. AID/W RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	FM (Continued)					
W-242	Schedule of AID Loan Installments Delinquent Over 90 Days	Monthly	HB 19, Ch. 6 Treas. Circ. 1080	N/A	FM/LM	(50)
W-242A	Schedule of Loan Repayments, Delinquencies, Deferral, Reamortizations and Write-Offs	Semi-Annually	HB 19, Ch. 6 Treas. Circ. 1080	N/A	FM/LM	Regional Bureaus PPC, FM
W-253	Project/Activity Status Report (Information on cumulative obligations and expenditures for AID/W and Mission project activity, for active and completed projects)	Annually	None (Voluntary Report)	N/A	FM/CAR	(200)
W-501	Program Assistance Commodity Expenditures, Analysis by Agreement (Disbursement data summarized at the seven-digit Schedule B commodity-code level within obligation)	By Request	None (Voluntary Report)	N/A	FM/CAR/ EA	Upon Request
W-502	Program Assistance Commodity Expenditures Analysis - Regional Summaries (Disbursement data summarized at the seven-digit Schedule B commodity code level)	By Request	None (Voluntary Report)	None	FM/CAR/ EA	Upon Request

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
A. AID/W RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	FM (Continued)					
W-503	Program Assistance Commodity Expenditures Analysis - Worldwide Summary (Disbursement data summarized at the seven digit Schedule B commodity code level within each region and with a breakdown by U.S. - procured and off-shore - procured from industrialized underdeveloped countries)	By Request	None (Voluntary Report)	None	FM/CAR/ EA	Upon Request
W-743/1	Status of Loan Disbursing Authorizations (Information on amounts authorized, disbursements to date, unliquidated amounts and amounts available for new disbursing authorizations)	Monthly	HB 19, Ch. 6	PPC	FM/LM	Overseas Missions & Offices, Regional Bureaus, PPC (57)
W-775	Loan Ledger Summary Cumulative Status of Loans on Report Date	Monthly	HB 19, Ch. 8, 8E4b(2)(b)	None	FM/LM	Overseas Missions & Offices
W-775/1	Loan Ledger Detail (Information on monetary transactions recorded for the period, by loan)	As Required	HB 19, Ch. 8, 8E4b(2)(b)	None	FM/LM	Overseas Missions & Offices

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
A. AID/W RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	FM (Continued)					
W-775/2	Listing of Transactions Commodities/Services (Detailed information of disbursement for both commodities and services)	Monthly	HB 19, Ch. 8, 8E4b(2)(c)	None	FM/CAR/EA	AID/W
W-775/3	Total Loan Disbursements by Project (Total loan disbursements for each loan financed project as reflected in LAIS)	Annually (5th working day after end of FY	HB 19, Ch. 8 8E4b(2)(d)	None	FM/LM	Overseas Missions & Offices
W-1612/3	Delinquency Report - AID Housing Guaranty program	Quarterly		APRE/H	FM/LM	PRE/H
	OFFICE OF THE INSPECTOR GENERAL (IG)					
W-780	Semiannual Report on Audit Recommendations	Semi-annual	OMB Circular A-50	Administrator	IG/A/PPO	Administrator, Bureau & Mission Managers (150)

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
A. AID/W RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	OFFICE OF HUMAN RESOURCES DEVELOPMENT MANAGEMENT (HRDM)					
W-348	Staffing Pattern (Washington and Overseas)	Monthly	HB 32, Ch. 2	N/A	HRDM/PSPE	General AID/W and Overseas
W-381	Alphabetical Employee Listing - AID/W and Overseas (A listing of each employee by name)	Monthly	None (Voluntary Report)	N/A	HRDM/PSPE	General AID/W Distribution
W-490/1	Report of Total Agency Resources (Summary of worldwide direct and nondirect hire personnel)	Monthly	None (Voluntary Report)	N/A	HRDM/PSPE	General AID/W Distribution

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
B. MISSION RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	BUREAU FOR ASIA AND PRIVATE ENTERPRISE (APRE)					
U-232	Colombo Plan Report (Provides information for the Colombo Plan Council's annual report on technical assistance by member countries)	Biennial	AIDTO Circ. A-2112 9-25-70 (Airgram)	APRE/A	Missions in Colombo Plan Countries	Colombo Plan Council
	BUREAU FOR PROGRAM AND POLICY (PPC)					
U-447	Project Evaluation Summary (Evaluation of Technical Assistance and other noncapital projects in terms of their efficiency, effectiveness, and significance in contributing to accomplishment of U.S. objectives) (Form AID 1330-15)	Annually (or as established in Project Eval. Plan)	HB 3, Pt. II, Ch. 8	Regional Bureaus	Missions	Letter
	OFFICE OF PROCUREMENT (MS/OP)					
U-249	Report of Acquisition of Foreign Excess Property (Information covering original acquisition cost of all foreign excess property acquired under the Sinus Country Program	Annually	HB 16, Ch. 7G (format-Attach M)	OP/TRANS	Missions	COM/GPR (1)

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
B. MISSION RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	OFFICE OF SMALL AND DISADVANTAGED BUSINESS UTILIZATION (OSDBU)					
U-511	Report of Violation - Marking Requirements (Report of noncompliance with AID marking requirements) (Form AID 1450-1)	As Occurs	HB 15, Ch. 2	OSDBU	Missions	OSDBU (1)
	OFFICE OF FINANCIAL MANAGEMENT (FM)					
U-101	Summary of Allotment Ledger Transactions and Reconciliation with Disbursing Officer's Accounts (Information on transactions recorded in Mission Allotment Accounts--net advances, disbursements, reconciliation with Disbursing Officer's Accounts, and accrued expenditures)	Monthly	HB 19, Ch. 9 (Format - Att. A)	FM/CAR	Mission Controller	FM/CAR (1) Appropriate Regional Bureau Development Planning Office (1)
U-101/B	Summary by Allowance Reconciliation with Allowance Ledger (Information reflecting deposit and disbursement activity for the numerous Special Letter of Credit accounts maintained by the Agency)	Quarterly	HB 19, Ch. 9	FM/CAR	Mission Controller	FM/CAR

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
B. MISSION RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	FM (Continued)					
U-102	Flash Report of Obligations and Disbursements (Advice of cumulative fiscal year obligations and disbursement activity. Covers all U.S. dollar funds allowed to Missions for program and administrative purposes)	Monthly	HB 19, Ch. 9 (Telegram) OMB-Revenue and Expenditures Control Act of 1968 (P.L. 90-364)	FM/CAR	Mission Controller	FM/CAR (1) Appropriate Telegram Distribution
U-106	Summary of Allotment Ledger Transactions and Reconciliation with Disbursing Officer's Accounts -- U.S. - Owned or Controlled Foreign Currencies (Summary of allotment transactions in Mission's accounting records for each applicable foreign transaction account and a reconciliation with the Disbursing Officer's Accounts)	Quarterly	HB 19, Ch. 5K (Format - Att. A)	FM/CAR	Mission Controller	FM/CAR (1) Country Desk (1) Appropriate Reg. Bureau Development Planning Office (1)
U-108	Status of Cash-Foreign Currency Funds Generated by MSA Sections 402, 502(a), AND 505 (Information covering the status of foreign currency funds generated by dollar disbursements for U.S. surplus agricultural commodities pursuant to Sections 402 and 502(a) of the Mutual Security Act of 1954)	Quarterly	HB 19, Ch. 5K	FM/CAR	Mission Controller	FM/CAR (1) PPC/PB (1) Country Desk (1) Appropriate Reg. Bur. Dev. Planning Office (1)

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
B. MISSION RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	FM (Continued)					
U-109	Status of Cash - P.L. 480, TITLE I (Information covering the status of foreign currency funds transferred to AID in accordance with provisions of P.L. 480, Title I, and the terms of specific sales agreements thereunder)	Quarterly	HB 19, Ch. 5K	FM/CAR	Mission Controller	FM/CAR (1) PPC/PB (1) Country Desk (1) Appropriate Reg. Bur. Dev. Planning Office (1)
U-110	Status of Cash--Foreign Currency Funds Appropriated or Otherwise Generated with AID Dollars Authorized Under the FAA, Sec. 214 (ASHA) (Information covering status of foreign currency funds appropriated or otherwise generated with AID dollars authorized under the FAA)	Quarterly	HB 19, Ch. 5K	FM/CAR	Mission Controller	FM/CAR (1) PPC/PB (1) Country Desk (1) Appropriate Reg. Bur. Dev. Planning Office (1)
U-111	Status of Cash - Foreign Currency Trust Fund (Information on the status of foreign currency funds in the Trust Fund Account, including quarter activity as well as cumulative receipts, disbursements, and unexpended balances)	Quarterly	HB 19, Ch. 5K	FM/CAR	Mission Controller	FM/CAR (1) PPC/PDPR (1) Country Desk (1) Appropriate Geo. Bur. Dev. Planning Office (1)

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
B. MISSION RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	FM (Continued)					
U-141	Report on Billing and Collection Transaction	Monthly	HB 19, Ch. 8	FM/CAR	Mission Controller	FM/CAR
U-141-A	Receivables from Foreign Officials and Private Obligors	Quarterly	AIDTO Circ. A-931, 7/4/72 & AIDTO Circ. A-1553, 11/9/72 (Format - Attachment to A-931)	FM/CAR	Mission Controller	FM/CAR (1)
U-205	Counterpart Funds "Special Accounts" - Trial Balance and Related Summaries (Cash Transactions and Release Approvals) (Information on status of cooperating-country counterpart funds "Special Accounts")	Quarterly	HB 19, Ch. 5K	FM/CAR	Mission Controller	FM/CAR (1) PPC/PDPR (1) Reg. Bur. Dev. Planning Office (1) Country Desk (1)
U-251	Mission General Ledger Trail Balance - Imprest Fund (Source data for AID/W's General Ledger of the dollar equivalent of the Imprest Fund at the time the original advance was made, adjusted for subsequent increases and decreases in the advance)	Annually	HB 19, Ch. 9 (Format - Att. A) GAO Policy and Procedures Manual Sec. 2730, Title 7	FM/CAR	Mission Controller	FM/CAR (2)

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
B. MISSION RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	FM (Continued)					
U-405	Reconciliation of Payroll Deductions and Employer's Contributions (Information on employer withholding tax deductions, F.I.C.A. Tax, C.S.C. Retirement, Government Life Insurance, and U.S. Savings Bonds)	Annually	HB 19, Internal FM procedures	FM/CAR	Mission Controller	FM/CAR (2)
U-421	Report of Overseas Expenditures and Foreign Currency Availabilities (Actual and estimated overseas expenditures in dollars and in foreign currencies purchased with dollars, and foreign currency collections and balances)	Annually	HB 19, Ch. 5 (Format - Att. A) Treasury Circ. 930	FM/CAR	Mission Controller	Treasury
U-750/3	Project Financial Activity Quarterly Report (Form AID 750-10)	Quarterly	HB 19, Ch. 9	FM/CAR	Mission Controller Offices	FM/CAR
U-754/1	Property Accounting--AID-Owned Property - PART I, Mission Real Property, General Ledger Trial Balance	Annually	HB 19, Ch. 15 (Format - Att D)	FM/CAR	Mission Controller	FM/CAR MS/OMS

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
B. MISSION RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	FM (Continued)					
U-754/2	PART II, Mission Non-Expendable Property	Annually	HB 19, Ch. 10 (Format - Att. C)	FM/CAR	Mission Controller	FM/CAR (1) MS/OMS (1)
U-756/2	Telegram Advice of Foreign Currency Loan Disbursements Under Mission Allotments (Advice of Mission loan disbursements in foreign currency under Mission allotments)	Quarterly		FM/LM	Mission Controller	FM/LM (Action distribution) Appropriate Telegram Distribution
U-756/3	Telegram Advice of Foreign Currency Loan Collections	Each Collection Transac-tion		FM/LM	Mission Controller	FM/LM (Action distribution) Appropriate Telegram Distribution
	OFFICE OF INTERNATIONAL TRAINING (OIT)					
U-418	Returned Participants Follow-up Activities (Summary of significant follow-up activities on returned participants) (Format, Attachment 35A)	Annually	HB 10, Ch. 35	OIT	Mission Training Officer	OIT

174

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
B. MISSION RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	OFFICE OF LEGISLATIVE AFFAIRS (LEG)					
U-503	Report on Congressional Visits (Activities and reactions of Congressional delegations and the impact of their visit) (Airgram, telegram, or letter)	After each visit	HB 18, Pt. II	LEG	Mission & Overseas Offices	LEG (Action Distribution) Appropriate Desk Letter/ Telegram distr.
	OFFICE OF OVERSEAS MANAGEMENT SUPPORT (MS/OMS)					
U-512	Non-Expendable Property Disposal Record (Information on disposition of nonexpendable property) (Form AID 5-73)	As Required (When property is disposed of)	HB 23, Ch. 4 & FPMR 101-46.407	MS/OMS	Missions and Offices	MS/OMS (1) FM/CAR (1)
	OFFICE OF HUMAN RESOURCES DEVELOPMENT MANAGEMENT (HRDM)					
U-146	Direct-Hire Foreign National Employment Report (Information on foreign national manpower utilized by AID overseas organizations and data on Mission personnel expenditures) (Form AID 330-1, to OPM on SF 113A)	Monthly	HB 32, Ch. 4	HRDM/PSPE	Missions	HRDM/PSPE

LISTING OF RECURRING REPORTS
PART I - INTERNAL REPORTS
B. MISSION RECURRING REPORTS

REPORT CONTROL SYMBOL	TITLE (Content)	FREQUENCY	REQUIRING DIRECTIVE (Format to be used, if any)	REQUIRING OFFICE	PREPARING OFFICE	DISTRIBUTION (No. Copies)
	HRDM (Continued)					
U-262	Report on Contract Personnel (Information on number of U.S. and foreign national personnel serving overseas under certain AID-financed contracts) (Statistics included on form AID 330-1	Quarterly	HB 32, Ch. 4	PPC/PB	Missions & AID/W	PPC/PB HRDM/PSPE
U-410	Incentive Awards Program (Statistical information on suggesting and superior accomplishment award phases of Mission's Incentives Awards Programs)	Annually	HB 29, Ch. 5 CSC Reg. 451 P.L. 763	HRDM/PSPE	Missions & Overseas Offices	HRDM/SCD
	OFFICE OF FOOD FOR PEACE (FFP)					
U-1560/1	Mission Final Disaster Summary Report	60 to 90 Days after each Disaster	HB 8, Ch. 7	FVA/FFP	Diplomatic Missions	FVA/FFP AID Desks

(17)

PART II

PUBLIC REPORTS - OMB APPROVED

The Office of Management and Budget is charged with the responsibility for controlling any reporting requirements imposed on the public. The report control symbols are assigned by OMB and approval authority of any new or revised reports rests with OMB. The following list indicates the reports currently on the OMB recurring reports inventory.

LISTING OF RECURRING REPORTS

PART II - PUBLIC REPORTS - OMB APPROVED

OMB NUMBER	REPORT TITLE	FORM NUMBER/ FORMAT/ REGULATION NUMBER	FREQUENCY	REQUIRING AUTHORITY	REQUIRING OFFICE
0412-0003	Title II P.L. 480 Commodities Annual Estimate of Requirements	AID 1550-3	Annually	HB 9, App. C, AID Reg. 11, Sec. 211.10(b)(1)	FVA/FFP
0412-0007	Report of Loss, Damage or Misuse of Commodities Donated Under Title II of P.L. 480	FORMAT	Quarterly	HB 9, App. C, AID Reg. 11, Sec. 211.9(f)	FVA/FFP
0412-0011	Application for Assistance American Schools and Hospitals Abroad	AID 1010-2	As Required	HB 1, Sup. B, Sec. 16A, and Internal Office Procedures -- Obtainable only through FVA/ASHA HB 15, App A; AID Reg. 1, Sec. 201.52(6)	FVA/ASHA
0412-0012	Supplier's Certificate and Agreement with the Agency for International	AID 282	As Required	HB 15, App A; AID Reg. 1, Sec. 201.52(6)	MS/PPE
0412-0014	Voluntary Agency and Carrier Certificate	AID 1550-1	As Required	HB 3, App. 4E; AID Reg. 2	FVA/PVC
0412-0014	Voluntary Agency Quarterly Report of Shipping Activity	AID 1550-6	Quarterly	Advisory Committee on Voluntary Foreign AID Letter of Aug. 9, 1963	FVA/PVC

LISTING OF RECURRING REPORTS

PART II - PUBLIC REPORTS - OMB APPROVED

OMB NUMBER	REPORT TITLE	FORM NUMBER/ FORMAT/ REGULATION NUMBER	FREQUENCY	REQUIRING AUTHORITY	REQUIRING OFFICE
0412-0017	Contractor's Certificate and Agreement with AID Contractor's Invoice and Contract Abstract	AID 1440-3	As Required	HB 11, Ch. 1, Ch. 2	MS/PPE
0412-0019	Certificate of Eligibility for Exchange Visitor (J-1) Status	IAP 66A	As Required	Sec. 635(f) FAA	OIT
0412-0020	Supplier's Certificate for Project Commodities - Invoice and Contract Abstract	AID 1450-4	As Required	HB 11, Ch. 3	MS/PPE
0412-0035	Registration of Agencies for Voluntary Foreign Aid	Regulation 3	Annually	FAA, Sec. 621 as amended (22 USC 2381)	FVA/PVC
0412-0503	AID's Public Affairs Mailing List Questionnaire	AID 570-1	On occasion		XA/PL
0412-0504	Conversion of Payments of $25,000 or More to Treasury Financial Communications System		On occasion	Treasury Dept. Cir. 1083 (rev.)	FM/FPS

LISTING OF RECURRING REPORTS

PART II - PUBLIC REPORTS - OMB APPROVED

OMB NUMBER	REPORT TITLE	FORM NUMBER/ FORMAT/ REGULATION NUMBER	FREQUENCY	REQUIRING AUTHORITY	REQUIRING OFFICE
0412-0506	AID Consultant Registry Information System (ACRIS) Organization and Individual Profile	AID 1420-50	Annually	CFR 41, Sec. 1-2.205	OSDBU
0412-0509	Overseas Shipments of Supplies by Voluntary Non-Profit Relief Agencies	Regulation 2	As Required	22 USC 2151 22 CFR 202	FVA/PVC
0412-0510	Information Collection Requirements Contained in AID's HB 13 (Grants and Cooperative Agreements)		As Required	P.L. 95-224 FAA	MS/PPE
0412-0513	Environmental Procedures	Regulation 16	As Required	22 CFR 201	PPC/PDPR
0412-0514	Rules and Procedures Applicable to Commodity Transactions	Regulation 1	As Required	22 CFR 201	MS/PPE
0412-0517	Donation of Dairy Products to Assist Needy Persons Overseas (Section 416 Program)	Regulation 10	Semi-annually	Agricultural Act of 1949	FVA/FFP/II
0412-0518	Matching Grant Schedule		Annually	FAA, Sec. 123	FVA/PVC

LISTING OF RECURRING REPORTS

PART II - PUBLIC REPORTS - OMB APPROVED

OMB NUMBER	REPORT TITLE	FORM NUMBER/ FORMAT/ REGULATION NUMBER	FREQUENCY	REQUIRING AUTHORITY	REQUIRING OFFICE
0412-0519	Investment Opportunity Proposal		On occasion	FAA of 1961, As Amended	APRE/I
0412-0520	Information Collections Elements in the AID Acquisition Regulations		As Required	FAA of 1961, As Amended 22 USC 2151	MS/PPE
0412-0521	National Association for Equal Opportunity in Higher Education (NAFEO) Individual Profile	AID 1620-9	Biennially	E.O. 12320	S&T/RUR
0412-0522	National Association for Equal Opportunity in Higher Education (NAFEO) Individual Profile	AID 1620-8	Biennially	E.O. 12320	S&T/RUR
0412-0524	Guidelines for Development Education Project Grants		Annually	Biden-Pell Amendment, Sec. 316; Int'l Security and Devel. Coop. Act of '80	FVA/PVC

PART III

INTERAGENCY REPORTS

Interagency reports are controlled by the Office of Information Systems, Office of Information Resources Management of GSA and are assigned report control symbols by GSA when the reports are approved. Some of the reports still have an AID report control symbol, prefaced by a "W" or a "U", because the reports have yet to be cleared by GSA. Once an interagency report control symbol has been assigned, the entries will be revised. A few Federal organizations are exempt from the provisions of the interagency reports control system; i.e., GAO, OMB, and IRS. Interagency reports required by these agencies will retain their prior AID report control symbol, but will be listed as an interagency report.

There are two separate sections to this part of the Recurring Reports Listing. Section A is a list of the reports required of other agencies by AID and Section B is the list of those reports required of AID by other U.S. Government agencies.

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

A. REQUIRED BY AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	(NONE CURRENTLY REQUIRED)				

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	BUREAU FOR SCIENCE AND TECHNOLOGY (S&T)				
W-1000-2	Fiscal Year Annual Federal Plan by AID to Assist Historically Black Colleges and Universities	Annually	E.O. 12320	Dept. of Education, White House HBCU Initiative Staff	S&T/RUR
W-1000-3	Fiscal Year Annual Federal Performance Report on AID Actions to Assist Historically Black Colleges and Universities	Annually	E.O. 12320	Dept. of Education, White House HBCU Initiative Staff	S&T/RUR
1235-HHS-AN	Inventory and Analysis of Federal Population Research (Form NIH 2235)	Annually	P.L. 91-572, Sec. 4(3) & (4)	Dept. of Health and Human Services	S&T/POP
	BUREAU FOR PROGRAM AND POLICY COORDINATION (PPC)				
1155-NSF-AN	Annual Survey of Federal Funds for Research and Development Annual Instructions from NSF	Annually	E.O. 10807 P.L. 81-507 P.L. 85-864	Nat'l Science Foundation	PPC/PB/RPA

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
1156-NSF-AN	A Report to the President and Congress: Federal Support to Universities, Colleges and Selected Nonprofit Institutions	Annually	NSF Act of 1950 as amended	Nat'l Science Foundation	PPC/PB/RPA
	OFFICE OF INSPECTOR GENERAL (IG)				
0230-GSA-AN	Agency Information Security Program Data (SF 311)	Annually	E.O. 12356	GSA	IG/SEC (input from MO/CRM, XA/PA & ES)
	OFFICE OF PROCUREMENT (MS/OP)				
0206-GSA-QU	Federal Procurement Data System (FPDS) Individual Contract Action Report (SF 279)	Quarterly	P.L. 93-400 Sec. 6(d)(5)	General Services Administration	OP/PS
0208-GSA-QU	FPDS-Quarterly Summary of Contract Actions of $10,000 or less (SF 281)	Quarterly	P.L. 93-400 Sec. 6(d)(5)	General Services Administration	OP/PS

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	OP (Continued)				
0154-GSA-AN	Annual Report of Personal Property Furnished to Non-Federal Recipients	Annually	P.L. 94-519 FPMR 101.43.4701	General Services Administration	OP/PS
	OFFICE OF INFORMATION RESOURCES MANAGEMENT (MS/IRM)				
0304-GSA-XX	Federal Advisory Committee Reporting System (GSA Form T-820B)	Annually	41 CFR 101-6 Federal Advisory Committee Act	General Services Administration	MS/IRM/PE
0309-GSA-AN	Annual Report of Standard and Optional Forms Used for Collections of Information Covered By 5 CFR 1320 (GSA Form 3515)	Annually	5 CFR 1320	General Services Administration	MS/IRM/PE
0312-GSA-QU	Automatic Data Processing Equipment Data System (ADPE/DS)	On occasion	FIRMR 201-26.2	General Services Administration	MS/IRM/AS

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	OFFICE OF EQUAL OPPORTUNITY PROGRAMS (EOP)				
0234-EEO-AN	Affirmative Action for Hiring, Placement and Advancement of Handicapped Individuals (EEO forms 440 & 441)	As Required	EEO Management Directive 711A	Equal Employment Opportunity Commission	EOP
0310-EEO-AN	Annual Accomplishment Reports and Updates of the Affirmative Action (EEO) Program for Minorities and Women	Annually	EEO Management Directive 707A	Equal Employment Opportunity Commission	EOP
	OFFICE OF FINANCIAL MANAGEMENT (FM)				
(0100-TD-AR)*	Description of Foreign Loan or Credit (Form TFS 4501)	On occasion	Treasury Fiscal Req. Manual Pt. II Chpt. 4500	Treasury Dept.	FM/LM
(0101-TD-AR)*	Description of Foreign Grant, Loan or Credit, Supplemental Information (Form TFS 4501 A)	On occasion	Treasury Fiscal Req. Manual Pt. II Chpt. 4500	Treasury Dept.	FM/LM

*GSA Approval of these reports has expired, therefore these numbers are invalid.

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	FM (Continued)				
(0102-TD-QU)*	Current Status of Active Credits (Form TFS 4502)	Quarterly	Treasury Fiscal Req. Manual Pt. II Chpt. 4500	Treasury Dept.	FM/LM
(0103-TD-QU)*	Current Status of Active Credits-Supplemental Information (Form TFS 4502 A)	Quarterly	Treasury Fiscal Req. Manual Pt. II Chpt. 4500	Treasury Dept.	FM/LM
(0105-TD-QU)*	Current Status of Accounts Receivable from Foreign Obligors	Quarterly	Treasury Fiscal Req. Manual 2-4500	Treasury Dept.	FM/CAR
(0106-TD-AR)*	Description of Guaranteed (Insured) Foreign Loan, Credit or other Payment Scheduling Agreement and U.S. Government Contingent Liability (Form TFS 4504)	On occasion	Treasury Fiscal Req. Manual 2-4500	Treasury Dept.	FM/LM

*GSA Approval of these reports has expired, therefore these numbers are invalid.

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	FM (Continued)				
(0107-TD-QU)*	Current Status of Guaranteed (Insured) Foreign Loans, Credits or other Payment Scheduling Agreements (Form TFS 4505)	Quarterly	Treasury Fiscal Req. Manual 2-4500	Treasury Dept.	FM/LM
(0108-TD-QU)*	Current Status of Guaranteed (Insured) Foreign Loans, Credits or other Payment Scheduling Agreements-Statement of Claims	Quarterly	Treasury Fiscal Req. Manual 2-4500	Treasury Dept.	FM/LM
(0109-TD-AR)*	Payment Schedule - Foreign Loan, Credit or Other Payment Scheduling Agreement (Form TFS 4506)	On occasion	Treasury Fiscal Req. Manual 2-4500	Treasury Dept.	FM/LM
0215-TD-SA	U.S. Savings Bonds Payroll Savings Report		Interagency Savings Bonds Committee Circulars	Treasury Dept.	FM/CAR
0250-OPM-MO	Monthly Report of Full-Time Equivalent Work-Year Civilian Employment (SF 113G)	Monthly	P.L. 95-437; FPM Ltrs.	Office of Personnel Management	PPC/PB

*GSA approval of these reports has expired, therefore these numbers are invalid.

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	FM (Continued)				
1061-OPM-AN	Annual Summary of Retirement Fund Transactions (SF 2807-2)	Annually	FPM Supplement 831-1	Office of Personnel Mgmt.	FM/P
1064-OPM-AR	Report of Withholdings and Contributions for Health Benefits, Group Life Insurance, and Civil Service Retirement (SF 2812 & OPM Form 1523)	On occasion	FPM Supplement 831-1, 870-1, 890-1 FPM Hr. 831-56	Office of Personnel Mgmt.	FM/P
(1172-TD-MO)*	Statement of Transactions (SF 224, 1220, 1221)	Monthly	Treasury Fiscal Req. Manual 2-3100, 3330	Treasury Dept.	FM/CAR
1178-TD-XX	Statement of Financial Condition (SF 220)	Other	I Treasury Fiscal Req. Manual 2-4100	Treasury Dept.	FM/LM FM/CAR
1180-TD-AN	Statement of Income and Retained Earnings (SF 221)	Semi-annually	I Treasury Fiscal Req. Manual 2-4100	Treasury Dept.	FM/LM

*GSA Approval of these reports has expired, therefore these numbers are invalid.

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	FM (Continued)				
(1183-TD-MO)*	Report on Obligations (SF 225)	Quarterly	Treasury Dept. Circ. 1078 and Procedures Memo No. I and Amend. No. I	Treasury Dept.	FM/CAR
(1196-TD-AN)*	Year-End Integration of Agency--Treasury Data (GPO Form 2108)	Annually	Treasury Dept. Circ. 965, Revised Procedures Memo No. I	Treasury Dept.	FM/CAR
(1202-TD-AN)*	Report of Estimated Foreign Currency Collections	Annually	Treasury Dept. 930 Revised Procedures Memo No. 3	Treasury Dept.	FM/LM FM/CAR
(1207-TD-SA)*	U.S. AID Report of Deposits for AID FT Accounts	Semi-annually	Treasury Dept. Circ. No. 930	Treasury Dept.	FM/CAR
W-217	Report on Budget Execution (SF 133)	Monthly	OMB Circ. A34	OMB	FM/CAR

*GSA Approval of these reports has expired, therefore these numbers are invalid.

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	FM (Continued)				
W-222	Employers Federal Tax Return	Quarterly	Treasury Circular E, 1074	Internal Revenue Service	FM/P
W-223	Employers State Tax Return	Monthly	Treasury Circular 1074	State and D.C. Govt.	FM/P
W-234	Income Information Report to States (form W-2)	Annually	Treasury Circ. 1074	To States DC, VA, & MD	FM/P
W-240	Summary Report of Health Benefit Carrier (reported to H.B. carriers)	Biweekly	FPMI-5	Office of Personnel Mgmt.	FM/P
W-244	Loan Activity Report	Monthly	P.L. 87-195 Sec. 620(u)	Treasury Commerce	FM/LM
W-255	Report of Refunds-Foreign Currency	Semi-Annually	Treasury Request	Treasury Dept.	FM/CAR
W-591	Report of Waiver of Claims for Overpayment of Pay	Annually	4 CFR 202.7 HB 19 Chap. 7 and AH 7 G	General Acctg. Office	FM/CAR

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	FM (Continued)				
W-756/2	Outlay Report	Monthly	Office of Mgmt. & Budget	Office of Mgmt. & Budget	FM/CAR
	OFFICE OF ADMINISTRATIVE SERVICES (MS/AS)				
0015-GSA-AN	Annual Report of Utilization and Disposal of Excess and Surplus Personal Property (SF 121)	Annually	FPMR 101-43 4701(a)	General Services Admin.	AS/ISS
0151-GSA-XX	Federal Audiovisual Production Report (SF 202)	As required	FPMR 101-11.13	GSA National Audio visual Center	AS/ISS/RM
0152-GSA-AN	Annual Audiovisual Report (SF 203)	Annually	FPMR 101-11.13	GSA National Audio visual	AS/ISS/RM
0153-GSA-AR	Agency Action Plan and Implementation Progress Report	On occasion	FPMR 101.11.103 4(c)	General Services Administra-tion	AS/ISS/RM
1095-GSA-AN	Emergency Disposal of Records	Annually	FPMR 101.11.407	General Services Administra-tion	AS/ISS/RM

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	OFFICE OF OVERSEAS MANAGEMENT SUPPORT (MS/OMS)				
0216-DOS-AN	Report of Foreign Gifts and Decorations	Annually	5 U.S.C. 7342	Dept. of State	MS/OMS
1102-GSA-AN	Agency Report of Motor Vehicle Data (SF 82)	Annually	FPMR 101-38.1	General Services Admin.	MS/OMS
1528-GSA-AN	Exchange and Sale of Personal Property for Replacement Purposes	Annually	FPMR 101-46.407	General Services Admin.	MS/OMS
	OFFICE OF HUMAN RESOURCES DEVELOPMENT MANAGEMENT (HRDM)				
0063-DOL-QU	Continuation of Pay for Disabling, Job-related Traumatic Injuries Sustained by Federal Employees	Quarterly	FEC Act as amended by P.L. 93-416 20 CFR 10.206	Dept. of Labor	HRDM/LER
0064-DOS-AN	Federal Employees Serving on Transfer or Detail to or Reemployed from Public International Organizations	Annually	E.O. 11552	Dept. of State	HRDM/PSPE

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	HRDM (Continued)				
0115-OPM-QU	Quarterly Reports for Schedule C Positions	Quarterly	FPM Ch. 291	Office of Personnel Management	HRDM/SCD
0218-OPM-SA	Part-Time Employment Progress Report	Semi-annually	5 USC 3407; FPM Ch. 340	Office of Personnel Management	HRDM/SCD
0269-OPM-AN	Annual Executive Performance and Pay Report	Annually	FPM Ltr 920-14	Office of Personnel Management	HRDM/SCD
0270-OPM-AN	Annual Report of Student Volunteer Service (OPM Form 1428)	Annually	FPM Bulletin 298-58	Office of Personnel Management	HRDM/SCD
1032-OPM-MO	Monthly Report of Federal Civilian Employment (SF 113A)	Monthly	FPM Ch. 298	Office of Personnel Management	HRDM/PSPE
1051-OPM-AN	Report of Employment of Students Under E.O. 12015 (OPM Form 1467)		E.O. 12015; FPM 308, App. A	Office of Personnel Management	HRDM/SCD
1056-OPM-AN	Annual Report of Training Activities	Annually	FPM Bulletin 410	Office of Personnel Management	HRDM/TD

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	HRDM (Continued)				
1059-OPM-AN	Incentive Awards Program Annual Report (OPM Form 1465)	Annually	FPM Ch. 451	Office of Personnel Management	HRDM/PMES
1060-OPM-AN	Listing of Recognitions and Agreements (Form LMR-4 and CSC 913-B)		Periodic FPM Bulletins	Office of Personnel Management	HRDM/LER
1146-DOL-XX	Summary of Occupational Injuries and Illnesses and Targeted Agency Action Plans	Other	E.O. 12196 29 CFR 1960 P.L. 91-596	Dept. of Labor	MS/AS
1168-DOS-AN	Retail Price Schedule (Form OF 173) and Hotel and Restaurant Prices (Form DSP-23W)	Annually	DOS Standardized Reg. Subchapter 070	Dept. of State	Submitted directly by Overseas Missions & Offices
1169-DOS-XX	Post Differential Questionnaire Civilians, Foreign Areas (Form DS-1733)	Other	DOS Standardized Reg. Subchapter 070	Dept. of State & Offices	Submitted directly by Overseas Missions

LISTING OF RECURRING REPORTS

PART III - INTERAGENCY REPORTS

B. REQUIRED OF AID

INTERAGENCY REPORT CONTROL NUMBER	REPORT TITLE	FREQUENCY	REQUIRING AUTHORITY	REQUIRING AGENCY	RESPONDING AID OFFICE
	HRDM (Continued)				
1170-DOS-AN	Foreign Allowance Application Grant and Report (SF 1190)	Annually	DOS Standardized Reg. Subchapter 070	Dept. of State	Submitted directly by Overseas Missions & Offices
	OFFICE OF SMALL AND DISADVANTAGED BUSINESS UTILIZATION (SDB)				
1561-DOC-QU	Annual Agency Minority Business Development Plan and Quarterly Report (Form MBDA-91)	Annually	E.O. 12432	Dept. of Commerce	OSDBU

PART IV

CONGRESSIONAL REPORTS AND PRESIDENTIAL DETERMINATIONS

These reports are assigned into three categories: legislatively required reports; reports submitted at the request of a Congressional Committee, Senator or Member of the Congress; and those reports which must be made as a result of a Presidential determination.

The report control symbols assigned the Congressional Reports all begin with CONG as a flag that the report is a Congressional. The fifth character indicates which of the three categories the report falls:

L indicates legislatively required
R a Congressionally requested report
P a Presidential determination

Following the letter which indicates the report category is a four-digit number which is simply a sequence number assigned each report in each category. The legislatively required reports are numbered from 0001 to 0099, the requested reports are numbered from 0100 to 0199 and the Presidential determinations are numbered from 0200 to 0299.

The Congressional Committee which receive the reports have all been abbreviated in the report listing because of space limitations. The following is an explanation of the abbreviations:

SAC	Senate Appropriations Committee
HAC	House Appropriations Committee
SPKR	Speaker of the House
SFRC	Senate Foreign Relations Committee
HMMC	House Subcommittee on Merchant Marine
HFAC	House Foreign Affairs Committee
HGAC	House Governmental Affairs Committee
SGAC	Senate Governmental Affairs Committee

The final column of the listing contains a report number assigned by the General Accounting Office. Not all Congressional Reports at this time have been assigned numbers by GAO but future listings will reflect additional assigned numbers.

The originating office for each Congressional report is to prepare a transmittal letter for the report to be signed by either the administrator or D/LEG. If there is any confusion as to whether the letter is to be signed by the Administrator or D/LEG, ES should be contacted for a determination.

LISTING OF INTERAGENCY REPORTS

PART IV - CONGRESSIONAL REPORTS

REPORT CONTROL SYMBOL	TITLE/SUBSTANCE	FREQUENCY	AUTHORITY	CONGRESSIONAL RECIPIENTS	RESPONSIBLE AID OFFICE	G.A.O. ACCESSION NUMBER
CONG-L-0002	Small Business Participation in AID-Financed Commodity Procurement	Semi-annually	P.L. 94-329 Sec. 602	HAC	OSDBU	17701011
CONG-L-0004	Activities Under the Freedom of Information Act	Annually (By Mar.1)	P.L. 93-502		XA/PI	17799004
CONG-L-0016	Annual Report of Implementation of Section 620 (S)(2) of the Foreign Assistance Act of '61	Annually	P.L. 91-175 Sec. 303	SFRC HFAC	PPC/PB	17701003
CONG-L-0023	AID Section 653 Report	As Required	P.L. 92-226 Sec. 304(b)	HAC HFAC SAC SFRC	PPC/PB	17701019
CONG-L-0025	Report on Human Rights and Development Assistance	Annually by Jan. 31	P.L. 94-161 Sec. 310	SFRC HFAC	PPC/PDPR	17701023
CONG-L-0030	Development Issues	Annually (Feb. 1)	P.L. 95-424, Sec. 502(a)(2)	SFRC HFAC	PPC/EA	17701005
CONG-L-0032	Semi-annually Report of the Inspector General	Semi-annually Nov. 1 & May 1	P.L. 97-11B, Sec. 8A(c)	HFAC SFRC	IG/A/PPO	17701004

LISTING OF INTERAGENCY REPORTS

PART IV - CONGRESSIONAL REPORTS

REPORT CONTROL SYMBOL	TITLE/SUBSTANCE	FREQUENCY	AUTHORITY	CONGRESSIONAL RECIPIENTS	RESPONSIBLE AID OFFICE	G.A.O. ACCESSION NUMBER
CONG-L-0033	Prior Notification of Intent to Obligate Funds Differently from As Previously Justified	As Required	P.L. 95-424	HFAC SFRC HAC SAC	LEG & Program Managers in Regional and Central Bureaus Cleared by LEG, PPC and GC	17701020
CONG-L-0034	Annual Report on the Activities of the Minority Resource Center	Annually (Feb. 1)	P.L. 96-53 Sec. 123(c)	HFAC SFRC	OSDBU	17701028
CONG-L-0035	Report Regarding Use of Contingencies	As Required	P.L. 97-113 Sec. 2(b)(2)	HFAC SFRC	PPC/PB	17701027
CONG-L-0037	Response to OMB Report on Agency Information Management Activities	As Required	P.L. 96-511	SGAC HGAC HAC SAC	MS/IRM/PE	17799030
CONG-L-0038	Determination of Whether Controls Proposed by the Secy. of Comm. on the Export of Food to a Developed (Developing) Country Would Cause Measurable Malnutrition	As Required	P.L. 97-145	HFAC SFRC	FVA/FFP	17701032

LISTING OF INTERAGENCY REPORTS

PART IV - CONGRESSIONAL REPORTS

REPORT CONTROL SYMBOL	TITLE/SUBSTANCE	FREQUENCY	AUTHORITY	CONGRESSIONAL RECIPIENTS	RESPONSIBLE AID OFFICE	G.A.O. ACCESSION NUMBER
CONG-L-0040	Development Project Assistance and for Relief, Rehabilitation and Reconstruction Activities in the Andean Region	As Required	P.L. 980151	SAC HAC	LAC	17755001
CONG-R-0101	Financial Report on Excess Property Revolving Fund	Monthly	Request, Chairman House Committee on Gov't operations	HFAC SFRC	FM/CAR	17701021
CONG-R-0105	U.S. Overseas Loans and Grants and Assistance from International Organizations	Annually	Request, HFAC	HFAC HAC SAC SFRC	PPC/PB	17701018
CONG-R-0106	Estimated Unexpended Balances in Pipeline from Prior Years for selected Foreign Assistance Programs	Annually	Request, HAC	HAC	PPC/PB	17701009
CONG-R-0107	Tables of Transfers of U.S. Resources to Foreign Nations	Annually	Request, SAC	SAC	PPC/PB	17701015
CONG-R-0108	New Requests for Authorization and/or Appropriation for Selected Programs of Foreign Assistance	As Required	Request, HAC	HAC	PPC/PB	17701016

LISTING OF INTERAGENCY REPORTS

PART IV - CONGRESSIONAL REPORTS

REPORT CONTROL SYMBOL	TITLE/SUBSTANCE	FREQUENCY	AUTHORITY	CONGRESSIONAL RECIPIENTS	RESPONSIBLE AID OFFICE	G.A.O. ACCESSION NUMBER
CONG-R-0109	Total Net Foreign Assistance by Country, Fiscal Year. (The "Green Book")	Annually	Request, HAC	HAC HFAC SAC SFRC	PPC/PB	17701017
CONG-P-0200	Nonvouchered Use of Funds Pursuant to Section 614(c) of FAA	As Required	P.L. 89-583 Sec. 614(c)	SFRC HFAC	PPC/PB	17701010
CONG-P-0209	Determination of Need to Transfer and Consolidate Funds	As Required	P.L. 93-559 Sec. 19(a)(2)	SFRC HFAC	PPC/PB	17701024
CONG-P-0216	Reasons for Continuing AID-Funded Private Voluntary Organization Activity Where Prohibitions on U.S. Assistance Have Subsequently Been Applied	As Required	P.L. 96-533 Sec. 307	HFAC SFRC	FVA/PVC	17701008

PART V

REPORTS REQUIRED INTERNALLY BY AID BUREAU, OFFICE, OR MISSION (FORMAT)

The FORMAT in this Part is to be used by AID Bureaus and Offices to maintain an inventory of their intraoffice reporting requirements, as directed by Handbook 18, part V, 4K3.

The REPORT CONTROL SYMBOL is to be assigned by the requiring office and should be a 4-digit sequence number preceded by the office or organization symbol. (See HB 18, Part V, 4G1b.)

The NAME OF REPORT is to contain either the report name or a summary of the report content.

The FREQUENCY is to indicate how often the report is to be submitted; i.e., Annually, Weekly, etc.

The REQUIRING DIRECTIVE is to indicate the memo, circular, etc., which establishes the reporting requirement.

The REQUESTING UNIT indicates the requiring office.

The PREPARING UNIT indicates the submitting office.

LISTING OF RECURRING REPORTS

PART V - REPORTS REQUIRED INTERNALLY BY AID BUREAU, OFFICE OR MISSION (FORMAT)

REPORT CONTROL SYMBOL	NAME OF REPORT (OR SUBSTANCE)	FREQUENCY	REQUIRING DIRECTIVE	REQUESTING UNIT	PREPARING UNIT

APPENDIX C

Guide to Writing Abstracts for AID

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE June 13, 1975	TRANS. MEMO NO. 18:8

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

Appendix C - Guide to Writing Abstracts for AID

This Appendix C of Handbook 18 provides guidance to authors in preparing abstracts that can be submitted directly to an automated announcement journal preparation service and an on-demand document printing service. Material contained in this appendix is new and does not supersede material contained in the previous Manual Order Directives System.

FILING INSTRUCTIONS:

Initial the Transmittal Memorandum Checklist (in the back of the Handbook binder) beside TM 18:8.

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, and file it in the front of the Handbook binder.

* * * * * * *

KEEP YOUR AID HANDBOOK UP-TO-DATE

Appendix C has been deleted

Handbook 18
Information Services

Appendix C

Guide to Writing Abstracts for A.I.D.

NCY for INTERNATIONAL DEVELOPMENT
DEPARTMENT of STATE
WASHINGTON, D.C. 20523

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE June 13, 1975	TRANS. MEMO NO. 18:8

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

Appendix C - Guide to Writing Abstracts for AID

This Appendix C of Handbook 18 provides guidance to authors in preparing abstracts that can be submitted directly to an automated announcement journal preparation service and an on-demand document printing service. Material contained in this appendix is new and does not supersede material contained in the previous Manual Order Directives System.

FILING INSTRUCTIONS:

Initial the Transmittal Memorandum Checklist (in the back of the Handbook binder) beside TM 18:8.

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, and file it in the front of the Handbook binder.

* * * * * * *

KEEP YOUR AID HANDBOOK UP-TO-DATE

Appendix C has been deleted

Handbook 18
Information Services

Appendix D

The A.I.D. Code Book

AGENCY for INTERNATIONAL DEVELOPMENT
DEPARTMENT of STATE
WASHINGTON, D.C. 20523

APPENDIX D

The AID Code Book

APPENDIX D

THE AID CODE BOOK

The AID Code Book serves as a central reference source for codes used commonly throughout the Agency and by private organizations and institutions interacting with the Agency. The Book is divided into three sections as follows:

Section I - Index of AID Codes

This section contains an alphabetic listing of codes prescribed for use by the AID Handbook Series. The index shows code structure; makes reference to applicable tables used in the structure of the code, lists author office, shows Handbook reference where code is required, and lists forms, reports, and documents that use the code.

Section II - AID Core Codes

This section contains a complete description of a selected group of codes that is used in the basic project management and accounting functions of the Agency. They are the most frequently and widely used codes in the Agency and are consolidated in this section to facilitate use and maintenance.

Section III - AID Code Tables

This section contains tables of codes with their related values. The tables contained in this section are referenced by both Sections I and II.

SECTION I
INDEX OF AID CODES

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
ACADEMIC EDUCATION LEVEL PM Internal Procedures Manual	XX e.g., 13 = Bachelor's Degree	PM	RAMPS IV EDR Print SF 50, Notification of Personnel Action, Block 39F
AGENCY PM Internal Procedures Manual	XX e.g., DD = Department of Defense	PM	Notification of Personnel Action SF 50-B, Block 39I FPM Supp 292-1 Employee Data Record Print - HB 32, Ch 2 RAMPS IV
AGENCY CODE (PAYROLL) HB 27, App. 27-8 Timekeeper's Manual	X * e.g., 1 = AID Employee	FM/PSD	AID 760-10, Time and Attendance Report
AGENCY OCCUPATIONAL SPECIALTY CODE HB 33, Att A	XXXX XX S Specific Job Suffix CSC Occupational Series e.g., 0511.03 = Auditor	PM	AID 4-512-SPAR AID 4-253-COAR SF 50B, Notification of Personnel Action EDR Print AID Form 4-499 PER-13, Agency Occupational Specialty Codes
ALLOTMENT CODE (See ALLOTMENT SYMBOL)			
*ALLOTMENT PURPOSE HB 18, App D	XX e.g., 59 = Program Assistance Commodity Financing Grants	FM/CARD	Fifth segment of Allotment Symbol, HB 18 EDP Lookup Tables of Established Allotment Codes FM/CARD *

* No longer used in this format effective October 1, 1981.

* Revised

SECTION I OF APPENDIX D

INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
*ALLOTMENT SYMBOL HB 18, App D	XXX XX XXX XX XX XX * XX: Fiscal Year Code (Designator) HB 18 XX: Allotment Purpose Code - HB 18 XX: Function Code (Always 00) XXX: Benefitting Country Code-HB 18 XX: Allottee Code - HB 18 XXX: Appropriation Code - HB 18 XX: Foreign Currency Fund Code - HB 18 and HB 19, Ch 5	FM/CARD	AID/W ONLY AID 2-2, PASA - HB 12 OF 170, Request, Authorization, Agreement & Certification of Training, HB 28 Notification of Personnel Action, AID 4-520 Receiving and Inspection Report AID 5-8, Request and Authorization for Official Travel Miscellaneous Obligation Document - Form AID 7-7 General Ledger - Trial Balance, Part I, Form AID 7-125 Bill for Collection - Form AID 7-129 Notice of Collection/Adjustment - Form AID 7-128 Status of Advances to Contractors - Form AID 7-251
ALLOTMENT SYMBOL Part of the Financial and Accounting Control System (FACS) Budget Plan Code	X XXX XX XX: Fiscal Year XXX: Type of Appropriation XXX: Appropriation Code HB 18 X: Allottee Designation Code, HB 18	FM/FCD *	Controller Transactions, U-101 Report - Summary of Allotment Ledger Transaction and Reconciliation with Disbursing Officers Accounts, HB 19 Loan Disbursement Schedule, Column 2 Allotment of Pay Form FS-479 Journal Voucher, Transfer Voucher, etc., SF 1017, SF 1097 SF 1017C, Register of Allotment Ledger Transaction SF 1017G, Journal Voucher SF 1097, Voucher & Schedule to Effect Correction of Errors Request for and Advise of Allotment - Form AID 7-158

* No longer used in this format effective October 1, 1981.

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
*ALLOTMENT SYMBOL (Continued)			AID 1120-1, Program Assistance Approval Document, PAAD, Block 10 U-101 - Summary of Allotment Ledger Transaction and Reconciliation with Disbursing Officers Accounts Program Assistance Abstract, Block A3 Commodity Procurement Instruction, Block 5 AID 7-27 or AID 7-226, L/COM, Block 5 PA/PR, Block 1 - App D7, HB 15 Closing Request, Block 3 PIO/T, Block 5 PIO/C, Block 5A - App D6, HB 15 PIO/P, Block 8 Training Procedure 39, Authorization of Official Entertainment Training Procedure 7, Program Itinerary and Travel Request Training Procedure 38, SF 147, Order for Supplies and Services EDP Lookup Table of Established Allotment Codes - HB 18 Cost-type Contract - 1422 HB 14 Local Currency Food Agreement Note: Communications (telegrams, letters, memoranda) pertaining to numbered documents (projects, PIO's etc.), cite the document number.

* Effective October 1, 1981, no longer used in this format.

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
*ALLOTTEE CODES HB 18, App D (Second segment of Allotment symbol)	XX e.g., 01 = Auditor General *	FM/CARD	Allotment Symbol - HB 18 Organization Accounting Code AID/W Obligation Document Number, 1st segment - HB 18 AID/W Project Number - 18
ALLOTTEE DESIGNATION CODES	X e.g., A = Administrator, AID	FM/FCD	AID/W PIO Number - HB 18 Organization Code - HB 17 EDP Lookup Table of Established Allotment Codes - FM/CARD
APPOINTMENT, TYPE OF PM Internal Procedures Manual	XX e.g., 11 = Career	PM	SF 52 Block 39P RAMPS IV EDR Print
APPROPRIATION (Funding Source)	XX Indicates TC, SA	FM/PSD *	Heading of Project Ledger PFAR Report Cable OYB Program Revision Approval Program Assistance Approval Document, Block 10 Multi-Use Standard Requisition/AID Form 143-1, Block 18, Columns 55 & 56, App D7 - HB 15 Single Line Item Billing Register (GSA 952), Remarks Column Item 167 of Staffing Pattern Action Request (SPAR) - HB 32 Manpower Programming Annex, 1st character of Column 5 AID 4-512, Item 27

* Effective October 1, 1981, no longer used in this format.

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
APPROPRIATION, ALPHA HB 18, App D HB 3, App 6A	XX * e.g., AS = American Schools and Hospitals	FM/PSD PPC	A modified Alpha Appropriation Code is used for identification of funding source on Project Documents (See HB 3)
APPROPRIATION, NUMERIC HB 18, App D	X XX Appropriation/Fund Symbol/Account FY Appropriated or First Established XXX e.g., 120 = Indus Basin Development Fund Loans	FM/FCD	Allotment Symbol - HB 18 Procurement Authorization Program Assistance Agreement Abstract, Block 4 EDP Lookup Table of Established Allotment Codes - FM/CARD
APPROPRIATION SYMBOL HB 18, App D	72 - 11 X XXXX Account Symbol FY Available for Obligation FY Designator Code Only when President initially responsible AID Location Code	FM/FCD *	Application for Training - HB 28 Third Country National Personnel Action Request SF 50, Block 27 (AID 4-520) Receiving and Inspection Report Travel Authorization, Block 7 Travel Advance Card - SF 1038 Miscellaneous Obligation Document - AID Form 7-7 General Ledger Accounting - Form 7-125, HB 19, Chapter 4 Bill for Collection - Form 7-129 Notice of Collection/Adjustment - Form 7-128 Status of Advances to Contractor From Controller Transactions, U-101 Report - HB 19 Loan Disbursement Schedule, Column 2 Allotment of Pay Form, FS 479 Journal Voucher, Transfer Voucher, etc., SF 1017, SF 1097

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
APPROPRIATION SYMBOL (Continued)	*	FM/FCD *	Request for and Advice of Allotment - Form AID 7-158 Shipment and Storage Data Sheet Commodity Procurement Instruction, Block 4 SF 1166, Voucher and Schedule of Payments L/COM, Block 10 PA/PR, Block 4 - App D7, HB 15 PIO/T, Block 4 PIO/C, Block 4 - App D6, HB 15 PIO/P, Block 8 - HB 10 Program Itinerary and Travel Request - Training Procedure 7 SF 147 - Request for Supplies and Services, Block 8, Training Procedure 38 Cost-Type Contract Local Currency Food Agreement
AREAS OF SOVEREIGNTY (See COUNTRIES, DEPENDENCIES, AND AREAS OF SOVEREIGNTY)			
ASSIGNMENT PREFERENCE COAR HB 25, Ch 6	XXX e.g., 120 = Return to Post/Second Tour	PM	COAR Form AID 4-253
AUDIT REPORT Inspector General's Audit Handbook	X XXX XX XXX Serial Number Fiscal Year Code Geographic (Country or AID/W Allottee) Code - HB 18 IG Office Number	IG	Audit Reports

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
AUTHORIZATION FOR MEDICAL EXAM - AID/W HB 19, Ch 10	XXX XXXX Serial Number AID/W Personnel Office	PM & FM	Authorization for Medical Exams
AUTHORIZATION FOR MEDICAL EXAM - MISSIONS HB 19, Ch 10	XXX X XXX Serial Number Fiscal Year Code Geographic (Country) Code - HB 18	PM & FM	Authorization for Medical Exams
AUTOMOBILE AND TRUCK MAKE HB 23, App 6E	XX e.g., 01 = Chevrolet	MS/MO	Motor Vehicle Record, Form AID 5-197
AWARD NUMBER, AID-DIRECT (This number format is used for AID-direct awards: contractual, cooperative agreement, grant, and interagency agreement awards.) Contract Information Bulletin (CIB 89-30). The use of this format is mandated in CIB 89-30. A full explanation of the number's format is provided in this CIB. Guidance on the issuance of contractual awards is provided in HB 14.	XXX XXXX X XX XXXX XX Modification No. Fiscal Year and Sequential Procurement Number Order Number; Participating Agency Code for International Agreement Procurement Instrument e.g., Grant, Purchase Order, RSSA, PASA, Indefinite Quantity Contract, etc. Project Number Country or AID/W Office Code (Award Prefix)	MS/OP/PS	In addition to being used on AID-Direct awards to uniquely distinguish the awards, the award numbers are used in correspondence concerning the awards and in internal external reports (e.g., AID Audit Report W-442, etc.).

*

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
Guidance on the issuance of grants and cooperative agreements is provided in Handbook 13. Guidance on the issuance of interagency agreements (RSSAs and PASAs) is provided in Handbook 12.	*	MS/OP/PS	
BACKSTOP CODES (For Overseas Positions) HB 33, Att A, BC-1	XX e.g., 50 = Health, Science, Medical and Population	PM	Staffing Pattern - HB 32, Ch 2 Employee Data Record Print - HB 32, Ch 2
BILL NUMBER HB 19, Ch 7	XX XXX X XXXX Sequential Bill No. Type of Billing Code Country Code - HB 18 Billing Office Code (AID/W)	FM/PSD	Bill for Collection - Form AID 7-129 Notice of Collection/Adjustment - Form AID 7-128 Bills for Collection and Notice of Collection/Adjustment also show: Appropriation Code Refund Code, Project No., HBs 18 & 3 Object Classification Transaction Code and General Ledger Account Code
BILLING OFFICE HB 19, Ch 7	XX AID/W Billing Office	FM/PSD *	Bill Number, 1st segment Notice of Collection/Adjustment Number, 1st segment U-141, U-141A Form AID 7-128, 7-129, & 7-236

* Revised

SECTION I APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
BUDGET PLAN CODE (FACS)	(1) XXXXXX — Allotment Symbol (2) XXXXX — Organization Cost Center Code (3) XXX — Function Code *	FM/PSD	
BUREAU/OFFICE CODE HB 3, App 6A	AID/W XX — e.g., 06 = Bureau for Africa MISSION XXXXXXX — Country Code HB - 18; XXXX — Serial Number	PPC/PB	Used on all Project Documents
CATEGORY OF ASSISTANCE HB 18 Also called CATEGORY CODE	X — Loan or Grant, etc. X — Technical or Capital, etc.	PPC/PB	Project/Activity Number, 2nd segment Project Agreement Number, 2nd segment
CITIZENSHIP PM Internal Procedures Manual	X — e.g., 1 = Citizen	PM	RAMPS IV EDR Print
CLASSIFICATION OF SCIENTIST ENGINEER POSITION HB 26	XX — e.g., 11 = Research	PM	SPAR - AID 4-512
COMMODITY (Schedule B) Ch 2B, HB 15	XXX — e.g., Textiles X — e.g., Cotton	MS/OP/COMS	AID 1370-1 PIO/C, Block 17 * Procurement Authorization Number, 2nd segment Program Assistance Agreement Commodity Procurement Instruction, Block 6 Financing Request, Block 9

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
COMMODITY (Developed for AID Use Only	XXXXXXX * Identifies Special Commodity	MS/OP/COMS	PIO/C, Block 17 (B/G procurement only) - App D, HB 15 Supplier's Certificate & Agreement with AID - Form AID 282, Block 8- App A, HB 15 Special Letter of Credit, Block 5 VolAgency Certificate, Block D Transfer Authorization Number, 2nd segment Application for Approval of Commodity Eligibility, Form AID 11, Block 9 - App A, HB 15
COMMODITY (FEDERAL SUPPLY GROUPS) HB 16	XX e.g., Tractors	MS/OP/PS/OCC	GSA equivalent of AID's 3 digit Commodity Code Foreign Excess Personal Property Report (U-249), Column A - HB 16 List of Requirements - an attachment to a Section 607 Excess Property Determination Excess Property Transfer Agreement
COMMODITY PROCUREMENT INSTRUCTION (CPI) HB 4	XXX X XXX XX Serial Number 02 Loan or Grant No. HB 18 Type of Loan or Grant Code-HB 18 Geographic (Country) Code - HB 18	MS/OP/COMS	1st segments same as Loan or Grant Agreement Number * Commodity Procurement Instructions (CPIs) Financing Request, Block 7
COMPETITIVE LEVEL PM Internal Procedures Manual	XXX Nonsupervisory Position in a Specific Occupation Series	PM	SPAR, AID 4-512

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
	NOTE: With respect to Delivery Orders issued under Contracts and Task Orders issued under Basic Ordering Agreements, the following additional numbering system shall apply. * D.O. XX - AX T.O. XX - AX Amendment Number Sequential Number T.O. = Task Order: D.O. = Delivery Order	MS/OP *	These grants are issued pursuant to Redelegation of Authority Number 99.1, concerning Contracting and Related Functions to recipients who are neither foreign governments nor agencies thereof.
COMPETITIVE LEVEL Mission Issued	XXX XXX XXXX XX X T = Technician Contracts Amendment Number Sequential Number Issuing Mission's Geographic Code; e.g., "306" = Afghanistan, etc. Agency; i.e., AID	Mission	

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
CONTROL SYMBOL, TOP SECRET, ASSIGNED TO FOREIGN SERVICE POSTS HB 6, Ch. 3, App IV	XXX e.g., ABJ = Corte D'Jorour	IG/SEC	OF - 113, Register-Distribution of Classified Material (Formerly JF-7) OF - 115, Top Secret Cover Sheet (Formerly JF-9) OF - 119, Record of Material Removed for Overnight Custody (Formerly JF-13) OF - 123, Top Secret Document Inventory Record (Formerly JF-17) OF - 124, Classified or Controlled File Cover Sheet (Formerly JF-18) OF - 125, Index to Consolidated File Number (Formerly JF-19)
COOPERATIVE AGREEMENT NUMBER -- See AWARD NUMBER, AID-DIRECT			
COST CENTER CODES (See ORGANIZATION/COST CENTER Codes			
COUNTRIES, DEPENDENCIES, AND AREAS OF SPECIAL SOVEREIGNTY HB 18, FIPS Pub 10-2	XX BL - Bolivia	MS/IRM/PE	Federal Interagency Systems and Transmittals
COUNTRY HB 18, App D (See GEOGRAPHIC)			

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
COUNTRY (Also see REGIONAL/ COUNTRY ORG NUMBER'S AND POST AND LANGUAGE)			
DATE, Julian HB 15, Ch. 4C (See FEDSTRIP, Julian Date)			
DEGREE, MAJOR FIELD OF PM Internal Procedures Manual	XXXX i.e., 0111 = Agricultural Economics	PM	RAMPS IV EDR Print
DEPENDENCIES (See COUNTRIES, DEPENDENCIES, AND AREAS OF SPECIAL SOVEREIGNTY)			
DETAIL INDICATOR PM Internal Procedures Manual	X e.g., 2 = Reimbursable detail outside of AID	PM	RAMPS IV EDR Print
DEVELOPMENT TRAINING SPECIALIST HB 10	XXX XX XXX Branch of IT Program Division and Employee	OIT	Cables pertaining to Participant Training Programs
DIRECT REIMBURSEMENT APPROVAL (DRA) HB 4	XXX XXXX XX * Serial Number Letter and Serial Number of Loan Grant Agreement Geographic (Country) Code - HB 18	FM/LMD FM/AD *	Direct Reimbursement Approval (D.A.) AID Form 1130-3

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
DISBURSING AUTHORIZATIONS Nonproject (formerly Dollar Program Assistance) HB 18 and HB 4	XXX XXXXXX Serial No. within Agreement * Serial Number of Loan or Grant Agreement Type of Grant or Loan Geographic (Country) Code	FM/AD FM/LMD	Letter of Commitment, Forms AID and 7-28; Procurement Authorization/ Purchase Requisition, Form 1160-5: Direct Reimbursement Approval, Special Letter of Credit, etc.
ENGINE HORSEPOWER HB 23, Ch. 6N2, App. 6C	XX e.g., E-3-6 cyl. 115 GHP	MS/MO	Motor Vehicle Record - Form AID 5-197
EXCESS PROPERTY CONDITION HB 16	X X Ready for Use and Interchangeable with New New or unused property	MS/OP/PS/OCC	GSA Excess Property Catalogs
FEDERAL EMPLOYEES' GROUP LIFE INSURANCE (FEGLI) HB 29 PM Internal Procedures Manual	X e.g., C = Employee has elected Basic Life FEGLI Coverage	PM	SF 50B, Notification of Personnel Action RAMPS IV
FEDERAL EMPLOYEES' HEALTH BENEFITS PLAN (FEHB) (See HEALTH BENEFITS PLAN)			
FEDERAL LEDGER ACCOUNT M.O. 722.1 & FM	XXXX AID/W Receivables = 1490	FM/CARD *	Bill for Collection, AID 7-129, HB 19, Ch.7 Notice of Collection Adjustment - AID 7-128, HB 19, CH 7

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
FEDERAL STOCK NUMBER (See NATIONAL STOCK NUMBER)			
FEDSTRIP ADVICE AND STATUS CODE HB 15, Ch. 4C	XX * As "advice." 2B - send only processed for shipment	MS/OP/COMS	Multi-Use Requisition, Block 22 - Columns 65 & 66 - App D10, HB 15
FEDSTRIP DOCUMENT IDENTIFIER HB 15, Ch. 4C	X X X Alpha or Numeric - see F.O.G.*. Chapter 2 Numeric when value is affected, alpha for information Alpha, A = Requisition and Issue, F = Billing	MS/OP/COMS	Indicates purpose of the Multi-Use Requisition, Form AID 1430-1 Block 1 - Columns 1-3 - App D10, HB 15
FEDSTRIP DOCUMENT NUMBER HB 15, Ch. 4C	XX XXXX XXXX XXXX Serial Number Calendar Year - 8 = 1988 Julian Date - Mar. 31,= 090	MS/OP/COMS	Multi-Use Requisition, Form AID 1430-1 Blocks 9, 10, 11, 12 - Columns 30-43 - App. D10, HB 15
*FEDSTRIP Operating Guidelines	Local Address Code Geographic Sub-Area Geographic Area (region) F.O.G. 72 = AID	MS/OP/COMS	*

* FEDSTRIP Operating Guide, FPMR 101-26.2 a GSA Handbook published by and available from: General Services Administration, Federal Supply Service, Washington, DC 20405

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
FEDSTRIP FUND CODE HB 15, Ch. 4C	XX └ Identifies Obligating or Subobligating *	MS/OP/COMS	Multi-Use Requisition, Block 17 - Columns 52-53 - App. D10, HB 15
FEDSTRIP GEOGRAPHIC CODE HB 15, CH. 4C	X X - A two-digit code established by GSA for individual requisitioners X X └ Alpha or Numeric = Country └ Alpha = Region; e.g., South America East	MS/OP/COMS	Identifies Country Ordering Commodities from GSA Multi-Use Requisition - Columns 32-35 - App D10, HB 15
FEDSTRIP - JULIAN DATE HB 15, Ch. 4C	X XXX └ e.g., 0 32 = February 1 └ Last digit of appropriate calendar year	MS/OP/COMS	Multi-Use Requisition, 3rd segment of Document Number - Columns 36-39 - App D10, HB 15
FEDSTRIP MEDIA AND STATUS HB 15, Ch. 4C	X └ Indicates requirements that status information be sent to requisitioner, AID Missions	MS/OP/COMS	Multi-Use Requisition, Block 3 - Column 7 - App D10, HB 15
FEDSTRIP PROJECT CODE HB 15, Ch. 4C	XXX └ Last 3 digits of Project/Activity No. Last 3 digits of Program Assistance Agreement Number	MS/OP/COMS	Multi-Use Requisition, Block 19 - Column 57-59 - App D10, HB 15
FEDSTRIP ROUTING IDENTIFIER HB 15, Ch. 4C	X X X └ Always 0 on AID Requisitions └ Alpha character identifies which of the GSA regions requisition is to be sent └ Always G	MS/OP/COMS *	Multi-Use Requisition, Block 2 - Columns 4-6 - App D10, HB 15

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
FEDSTRIP SIGNAL CODE HB 15, Ch. 4C	X T Indicates Shipping and Billing Address *	MS/OP/COMS	Multi-Use Requisition, Block 16F - Column 51 - App D10, HB 15
FEDSTRIP STATUS, DISTRIBUTION CONTROL, AND FOLLOW-UP HB 15, Ch. 4C	X XX T T Alpha Appropriation Code A = OPS; B = RUA; N, W, F, & S = GSA Regions	MS/OP/COMS	1st digit identifies office to get status information, 2nd and 3rd digits identify appropriation. Multi-Use Requisition, Block 18F-Columns 54-56 - App. D10, HB 15 Single Line Item Billing Register (GSA Form 952), Remarks Column
FEDSTRIP SUPPLEMENTARY HB 15, Ch. 4C	XX XX X X T T T T Fiscal Year - 7 = 1987 C = Mission Controller Geographic Code - App I of F.O.G. 72 = AID	MS/OP/COMS	Multi-Use Requisition, Blocks 14F & 15F - Columns 45-50 - App D10, HB 15
FEDSTRIP UNIT OF ISSUE HB 15, Ch. 4C	XX T DZ = Dozen, EA = Each, etc.	MS/OP/COMS	Identifies Minimum Unit of Issue for Commodities ordered from GSA Multi-Use Requisition, Block 7 - App D10, HB 15
FILE CLASSIFICATION HB 21, Pt. III, Ch. 4	XXX XX X T T T Tertiary Breakdown; e.g., 7 = Emergency Travel Insurance Secondary Breakdown; e.g., 12 General Subject; e.g., PER = Personnel	MS/MO/PA *	File Folder - AID Filing System
FINANCIAL AND ACCOUNTING CONTROL SYSTEM (FACS) CODES (See BUDGET PLAN CODES)			

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE *	REQUIRING OFFICE	WHERE FOUND
FINANCING REQUEST HB 4	XX Serial Number (Block 4), Under Agreement Number (Block 6)	MS/OP/COMS	Financing Request Letter of Commitment, Block 9
FIPS CODES (Federal Information Processing Standards) See individual code titles for more commonly used codes.			
FISCAL YEAR CODES (6th segment of Allotment Symbol) HB 18, App D	XX FY 87 Code; e.g. 87	FM/CARD	In 6th segment of Allotment Symbol
FISCAL YEAR DESIGNATOR/ FY INDICATOR HB 18, App D	XX Fiscal Year Designator (first digit indicates fiscal year) 8 = FY 1988 7 = FY 1987	FM/CARD *	PASA Number, last segment - HB 18 Allotment Symbol - HB 18 Appropriation Symbol, (1 digit only) - HB 18 PIO/T Number, 1st digit of 4th of 4th segment - HB 18 Voucher and Schedule of Payments Audit Reports Number, 1st segment - AID CIRC A-270 Procurement Authorization Number, 1st digit of 5th segment Federal Reserve Letter of Credit, 1st digit of 5th segment Transfer Authorization Number, 1st digit of 4th segment EDP Lookup Table for Established Allotment Codes - FM/CARD

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
FLAG CODES HB 9	XX e.g., AG = Algeria	FVA/FFP	Food for Peace Management Information Systems and Commodity Systems
FLSA INDICATOR (FLSA - Fair Labor Standards Act) PM Internal Procedures Manual	X e.g., E = Exempt	PM	RAMPS IV SPAR AID 4-512
FOREIGN CURRENCY HB 18, App D, Att A2 Two Parts: a. Appropriation Designator; b. Currency Code	XX XXX * Appropriation Designator Sec III Table 2, Part A - Columns 4 & 5	FM/PSD	Budget Plan Code Character 2 & 3 (To be designated Foreign Currency later.)
FORMS CONTROL HB 18, Ch. 5	XXXX XX (XX XX) CY when form approved Month of CY when form approved Sequential Number Pertinent Section	MS/MO	All AID Forms and Form AID 3-1, HB 18
FUNCTION CODE HB 18, Sec. II	XX Always 00	FM/FCD PPC/SB *	Fourth segment of Allotment Symbol EDP Lookup Table of Established Allotment codes - FM/FCD

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
FUNCTION CODE USED IN FACS BUDGET PLAN CODE	X XXX A three digit specific purpose or Program Identification Code * M = Management, Unappropriated or Dollar Trust Funds X = Excess Property X X XX A two digit specific Purpose Code. Will indicate "L" or "G" for Loan or Grant funds. Major Category or Function. A through K are reserved for Program Funds; A through G, when used in conjunction with the Development Assistance (DA) Appropriation, will identify the major "Functional" categories of the Foreign Assistance Act.	FM/FCD PPC/SB *	

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
FUNCTION CODE USED IN FACS BUDGET PLAN CODE (Continued)	X XXX A three digit specific purpose or cost center. The code will be exclusive within each major functional category. The codes will be alpha/numeric and "chain-up" to the next more general category of expense until it reaches the major functional category. Major Functional Category. N through W are normally used only for OE funds. However, these functional categories may also be used with other appropriations when suitable for identifying administrative or operating type expenses; e.g., management or other Agency funds. *		
FUNDING CODE	X A = Loans Authorized by Former Development Funds	FM/FCD	Funding Source for Loans and Grants
FUNDS CONTROL NUMBER AID/W HB 18, App D (Funds Control Number must not exceed 7 digits)	X XX XXXX Serial Number Organization Identifier Fiscal Year Designator	FM/PSD *	Miscellaneous Obligation Document, AID 7-7 OF 170, Request, Authorization, Agreement & Certification of Training - HB 28 Travel Authorization, AID 5-8 Travel Request Sheet, AID 560-4 U.S. Government Bill of Lading, SF 1103 Supplies/Equipment/Services Request AID 5-7 Order-Invoice Voucher

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
FUNCTION CODE USED IN FACS BUDGET PLAN CODE (Continued)			Field Purchase Order GPO 3019, Printing Requisition - HB 20 AID Form 5-18 Duplication and Distribution Requisition Program Assistance Agreement Abstract, Block A4 Investment Survey Participation Grant
***GEOGRAPHIC CODE HB 18, App. D, Sec. III	XXX Country; e.g., 512 = Brazil Geographic Region; e.g., 5 = Latin America and the Caribbean	PPC/PB/RPA	PIO/P Number, 1st segment - HB 10 AID 1380-1, PIO/P PIO/T Number, 1st segment - HB 10 AID 1350-1, PIO/T Project Activity Number, 1st segment - HB 3 and 18 Skills Inventory Sheet AID 4-512, SPAR, Item 4, Section A Operational Skills Search Request Mission Report of Commodities Shipment Loan Number, 1st segment - HB 18 Mission Operating Expenses Budget Object Classification - Schedule C (MOB) - AID 770-4 Procurement Authorization Number, 1st segment - AID 1160-4, Procurement Authorization Grant PAAD Number, 1st segment - HB 18 Program Assistance Grant Agreement Number 1st segment - HB 18 Program Assistance Disbursement Authorizations, 1st segment - HB 18

***Sometimes called country code and benefiting country code, this is one of the most commonly used codes in the Agency. The list at the right is a representative list only.

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
GEOGRAPHIC CODE (Continued)		PPC/PB/RPA	Loan PAAD Number, 1st segment - HB 18 AID 1120-1, Program Assistance Approval Document Loan Authorization Number (Cap. & Tech.), 1st segment - HB 18 Loan Agreement Number, 1st segment - HB 18 Commodity Procurement Instruction Block 8, AID 1130-1 L/COM Number, 1st segment, AID 7-226, L/COM 12-27 FR-Financing Request, Block 3 - AID 1130-2 Procurement Authorization Purchase Requisition, PA/PR, Block 8 - App D-7, HB 15, AID 1160-5 Third Country Training Report - Column 12 12 of U-137 - HB 10 Procurement Source Waivers - Ch. 2, HB 15 AID 1550-6, VolAgency Quarterly Report of of Shipping Activity - Columns 14-16 - VFA Instr. PIO/C, Block 15 - App D-6, HB 15. AID 1370-1 Detail Indicator Code EDP Lookup Table of Established Allotment Codes, FM/CARD
*	XXX 930 = Bureau for Program and Policy Coordination	PPC/PB/RPA	AID/W Bureau/Office Project Identification Program Budget Data System *

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
GRANT/LOAN APPROPRIATION Alpha Indicator HB 18, App. D	X K = Economic Support *	FM/FCD	Part of Agreement Number for Loans and Nonproject Grants (See Table 6)
GRANT NUMBER - See AWARD NUMBER, AID-DIRECT			
HEALTH BENEFITS PLAN (FEHB) HB 29, App. 1C PM Internal Procedures	XXX e.g., 1 = High Option - Self Only e.g., 10 = Service Benefits (Blue Cross, Blue Shield)	PM	Health Benefits Registration Form - Federal Employee Health Benefits Program, Booklet SF 2809; Notice of Change in Health Benefits in Enrollment, SF 2810; Transmittal and Summary Report to Carrier - Federal Employees Health Benefits Program, SF 2811; Report of Withholdings and Contributions for Health Benefits, Group Life Insurance, and Civil Service Retirement, SF 2812 Control Register
HOUSING GUARANTIES HB 7	X X G = Guaranty H = Extended Risk Housing (Worldwide)	APRE/H	Extended-Risk Number, second segment
INVESTMENT GUARANTIES (Extended Risk) AID Accounting Manual Pt. V & HB 19, Ch. 16	XXX XX XXX Serial Number Type of Guaranty Geographic (Country) Code - HB 18	FM/PSD *	Extended Risk Guaranty Authorization and Contract Documents

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
LANGUAGE HB 32, Anx D, Table D-4	XXX e.g., 148 = Turkish	PM	Staffing Pattern - HB 32, Ch. 2 Employee Data Record Print - HB 32, Ch. 2
LANGUAGE CODE (PL) HB 28, Att. 4C	X XXXX 99123 = Serbo - Croatian e.g., A = Primary Language	PM	Staffing Pattern - HB 32, Ch. 2 EDR Print
LANGUAGE, LEVEL OF PROFICIENCY HB 28, Ch. 4, Att. 4B	X e.g., 1 = Elementary Proficiency	PM	Staffing Pattern - HB 32, Ch. 2 Staffing Pattern Action Request - HB 32 EDR Print
LANGUAGE, METHODS OF DETERMINING PROFICIENCY HB 28, Ch. 4	X 2 = Tested by Foreign Service Institute	PM	Employee Data Record Print - HB 32, Ch. 2
LANGUAGE PROFICIENCY, EMPLOYEE HB 28, Ch. 4B, Anx B PM Internal Procedures Manual	XX e.g., 2 = Limited Working Proficiency	PM	RAMPS IV SPAR - AID 4-512 EDR Print
LEAVE, UNPAID HB 27, App. 27-8 Timekeepers Manual	X * e.g., 1 = AWOL - Unauthorized	FM/PR	AID Form 760-10, Time and Attendance Report
LEAVE, OTHER PAID HB 27, App. 27-8 Timekeepers Manual	X e.g., R = Restored Annual Leave	FM/PR	AID 760-10, Time and Attendance Report
LETTER OF COMMITMENT (L/COM) CPI System, HB 15	XXX X XXX XX Serial No. 01, 02, etc Loan or Grant Serial No-HB 18 Type of Loan or Grant Code - HB 18 Geographic (Country) Code - HB 18	FM/AD *	1st seven digit same as Loan or Grant Agreement Number L/COM Application/Amendment, Block 6 Supplier's Certificate, Form AID 282 Block 3 - App. A, HB 15

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
LETTER OF COMMITMENT (L/COM) Nonproject System, HB 15	XXX XXX Serial Number * Geographic (Country) Code - HB 18	MS/OP/COMS	L/COM Application/Amendment, Block 6 Supplier's Certificate, Form AID 282, Block 13 - App. A, HB 15
LETTER OF CREDIT (LOC) HB 14	72 XX XXXXX Letter of Credit Serial Number - Variable Always 00 AID - 72	FM/CMPD/LC	Letter of Credit, SF 1193
LOANS, AID (Also Program Assistance Loan Number and Loan Agreement Number) HB 18, App. D	XXX X XXX Serial No. in range of 001 - Loan/Grant Funding - HB 18 Geographic (Country and Region) Code - HB 18	FM/LMD *	Request for Advice of Allotment (AID 7-158) Voucher and Schedule to Effect Corrections (SF 1097) Voucher and Schedule of Withdrawals and Credits (SF 1081) Voucher and Schedule of Payments (SF 1166) Loan Authorization Amended Loan Agreement Mission AOC's (AID 7-46) Debit advice from Agent Bank Credit advice from Agent Bank Certificate of Deposit (SF 219) Notice of Collection (AID 7-128) Deposit or Trust Fund Receipt and Record (SF 459) Cables Schedule of Cancelled Checks (SF 1098) All LAIS Reports Loan Deauthorization Statement of Collections (SF 458)

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
LOANS, AID (Also Program Assistance Loan Number and Loan Agreement Number) (Continued)			Participant Accruals (U-101) Journal Vouchers (SF 50) Change or Correction to a Loan Record and Deobligation (AID 7-340) Public Voucher for Purchases (SF 1034) Statement of Disbursements (LAIS) Disbursement Schedule Loan Implementation Letters
LOAN AUTHORIZATION CAPITAL AND TECHNICAL ASSISTANCE HB 19	XXX X XXX * Serial No. in range of 001 Loan/Grant Funding - HB 18 Geographic (Country) Code - HB 18	FM/LMD	Authorizations for Capital and Technical Assistance Loans, HB 19, Ch. 6
LOSS TYPE CODES HB 9	XXX 101 = Mechanically ripped, torn, cut or punctured	FVA/FFP	Food for Peace Management Information System and Commodity Systems
MISCELLANEOUS OBLIGATION DOCUMENT NUMBER See OBLIGATION NUMBER			
MISSION IDENTIFICATION TREASURY Controllers Guidebook	XX XX XXXX City Fill-in, always 00, except ROCAP = 01 Agency	FM/CARD *	Vouchers, etc., in countries where Treasury RDO's provide a central disbursing service Federal Reserve Letter of Credit, last segment

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
MISSION LETTER OF COMMITMENT (L/COM)	XXX XXXX XX XX XX: Serial Number ✱ XX: Subproject Number XXXX: Project Number XXX: Geographic (Country) Code, HB 18	Mission	Bank L/COM on Face Sheet Block 4 Direct L/COM - Ref: Section after addressee
NATIONAL STOCK NUMBER (Formerly Federal Stock Number) HB 15, Ch. 4C	XX XX XXXXXX XXXXXX: Particular Model, etc. XX: e.g., Type of Valves XX: e.g., Valves	MS/OP/COMS	Identifies commodity (item) ordered from GSA Multi-Use Standard Requisition/Issue System Document, Form AID 1430-1
NATURE OF ACTION FFM Supp. 296-33 PM Internal Procedures Manual	XXX XXX: OPM Code e.g., 317 = Resignation	PM	AID 4-520 (SF 50 Notification to Personnel Action), Block - FPM Supp. 296-33 Employee Data Record Print - HB 32, Ch. 2 RAMPS IV
*OBJECT CLASSIFICATION HB 18, App. D, Att. E1	XXX XXX: e.g., 1 = Reimbursable Details XX: e.g., 1 = Personnel Compensation X: e.g., 1 = Personal Services and Benefits *A fourth digit may be added to this three digit code to distinguish between per diem and travel. For use by AID/W only, codes 210, 212, and 215.	PPC/SD ✱	PASA Budgets, AID 2-2 Participating Agency Budget Agreement Tables Receiving and Inspection Report Request and Authorization of Official Travel, Form AID 5-8 Miscellaneous Obligation Document - AID 7-7 Allotment Ledger - Detail, AID 730-1 *Object Class Distribution Ledger Bill Bill for Collection - AID 7-129 *Object Class Report U-104 - HB 19

✱ Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
OBLIGATION NUMBER SELF-HELP PROGRAMS (AFRICA) HB 18, App. D (7-Digit Maximum)	X XXX XX X X — Always 0 XX — Sequential Number XXX — Country Code X — Fiscal Year Indicator = 1 digit only		Miscellaneous Obligation Document Application for Training - HB 28 Travel Authorization Transportation Request U.S. Government Bill of Lading Supplies/Equipment/Services Requisition 5-7 Order-Invoice Voucher Field Purchase Order GPO 3019, Printing Requisition - HB 20 Form AID 5-18 Duplicating and Distribution Distribution Requisition Program Assistance Agreement Abstract, Block A4 Investment Survey Participation Grant
OBLIGATION NUMBER - DISASTER RELIEF HB 18, App. D	XXX XXX X X — Serial Number XXX — Geographic (Country Code) X — Fiscal Year XX — Allottee		Miscellaneous Obligation Document Application for Training - HB 28 Travel Authorization Transportation Request U.S. Government Bill of Lading Supplies/Equipment/Services Requisition 5-7 Order-Invoice Voucher Field Purchase Order GPO 3019, Printing Requisition - HB 20 Form AID 5-18 Duplicating & Distribution Requisition Program Assistance Agreement Abstract, Block A4 Investment Survey Participation Grant

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
OCCUPATION/CATEGORY (PARTICIPANTS) HB 10	X X Occupation; e.g., Chemical Engineer Category; e.g., Engineering	OIT	AID 1380-1 PIO/P, Block 6B, Page 2, HB 10
OCCUPATION/CATEGORY CODE (PARTICIPANTS) HB 10, Att. 13A	X X e.g., 5H = Teachers, University Levels Social Science, and Other	OIT	AID 1380-1 PIO/P, Pg. 2 Block 6B - HB 10
OCCUPATIONAL CODE (For Overseas Positions see HB 33, Att. A -- Also see AGENCY OCCUPATIONAL SPECIALTY CODE)	XXXX XX Specific job suffix CSC Occupational Series	PM	Staffing Pattern - HB 32, Ch. 2 Employee Data Record Print - HB 32, Ch. 2 SF 50, Notification of Personnel Action, Block , first 4 digit only - FPM Supp. 296 - 33
ORGANIZATION, AID/W (ORGNO) HB 17, Ch. 3	X XX XXXX XX Sequence Designator Always "01" for Parent Organization Always "02" for Subordinate Organization Bureau - Section Office - Unit Bureau - Branch Office - Section Bureau - Division/Desk Office - Branch Bureau - Office/Staff Office - Division and Staff Major Organization (Bureau or Independent Office) Corresponds to Allottee Code Location Code, Always "1" for AID/W	MS/IRM	AID-512, Staffing Pattern Action Request (SPAR), HB 17, App. 1 RAMPS IV

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE *	REQUIRING OFFICE	WHERE FOUND
ORGANIZATION/COST CENTER CODES	The AID/W Organization Codes are structured as follows: 1 XX X X Division within a Bureau or Branch of Major Office. Office within a Bureau or Division within a Major Office Bureau or Office Reporting Directly to A/AID. AID/Washington The USAID Organization codes are structured as follows: 2 X XXX Three digit country or geographic code a listed in the AID Geographic Code Book - HB 18, App. D (See Attachment III C). Some additional "non-regional" offices are identified in Attachment III B. Identifies the Region: 1 = Africa Region 2 = Trade and Development Program 3 = Europe and Near East Region 5 = Latin America Region 7 = APRE Region 8 = Inspector General - Overseas locations 9 = Nonregional USAID Managed Funds	PM/PSPE *	FACS Budget Plan Code

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
ORGANIZATION, OVERSEAS (ORGNO) HB 17, Ch. 4	X X XXX X X XX XX: Sequence Designator Always "01" for Parent Organization Always "02" for Subordinate Organization X: Second Level Subdivision-Division X: First Level Subdivision - Office XXX: Overseas Organization Country Code (Corresponds to Geographic Code) X: Backstop Bureau X: Location Code (Geographic Region) X: Always "2" for Overseas	MS/IRM	AID 4-512, Staffing Pattern Action Request (SPAR), HB 17, App. 4 RAMPS IV
ORGANIZATIONAL ACCOUNTING AID/W HB 18, Pt. V, Ch. 3	XX XXXX XXXX: Organizational Subdivision Within XX: Allottee Code - HB 18	PM	Skills Inventory, Item 2 if employee is AID/W Skills Search Request AID/W Obligation Document Number 1st two segment Travel Authorization Numbers (AID/W) Miscellaneous Obligation Document - Form AID 7-7 AID 760-10, Time and Attendance Report - HB 27

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
ORIGIN CODE PM Internal Procedures Manual	XX T e.g., Name of Transaction Specialist	PM	RAMPS IV Used on all transmittal sheets
PARTICIPATING AGENCY SERVICE AGREEMENT (PASA) NUMBER - See AWARD NUMBER, AID-DIRECT			
PARTICIPATING AND OTHER AGENCY CODES - See AWARD NUMBER, AID - DIRECT			
PAY BASIS FPM Supp. 296-31	XX T e.g., PA = Per Annum	* FM/PR	AID 4-520 (SF 50), Blocks 18 and 23 FPM Supp. 296-31
PAY GRADES OR CLASS GS/AD; FA, FO & FE, FP, FPL HB 26, Att. 5A	XX T e.g., 03 = FP L 13 = GS	PM	RAMPS IV
PAY PLAN HB 32, Annex A Procedures Manual	XX T e.g., GS = General Schedule	FM/PR *	RAMPS II SPAR - AID 4-512 EDR Print Staffing Pattern
PAY RATE DETERMINANT PM Internal Procedures Manual	X T e.g., 1 = Retired Rate 2 years	PM	RAMPS IV SF 50 - Notification of Personnel Action Block 39C SF 52 - Request for Personnel Action Block 39C

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
PAYROLL OFFICE HB 19 and FM Internal Instructions	XX XX XXXX Checking Account Symbol assigned by Treasury * Always 00, except ROCAP = 01 e.g., 72 = AID, 19 = State Dept.	FM/PR	Health Benefits Registration Form, SF 2809, Part F-4 Notice of Change in Health Benefits Enrollment, SF 2810, Part A-5 Transmittal and Summary Report, SF 2811 Report of Withholdings and Contributions, SF 2812
PAYROLL PERIODS, SCHEDULE OF HB 26, Att. 6A	XX 1 through 26, Leave years 197 - through 198-	FM/PR	Form AID 760-10 Time and Attendance Report
PAYROLL PROCESSOR HB 27, App. 27-8 Timekeeper's Manual	X 1 = Processor for Social Security Number Number 001 - 191	FM/PR *	Form AID 760-10 Time and Attendance Report
PHYSICAL HANDICAP HB 32, App. A	XX Numerical code for various types of handicaps (Civil Service only)	PM	SF 52, Request for Personnel Action Block 390 FPM Supp. 296-13
PIO DOCUMENT CODE HB 18, App. D, Att. G	X 3 = PIO/T Contract for Services	PPC	PIO/C Form carries Project No. (Block 3) Appropriation Symbol (Block 4), and Allotment Symbol (Block 5) Letter of Commitment Application/Amendment Block 4 or 5 Multi-Use Requisition (FEDSTRIP), Block 19 - App. D10, HB 15 Telegrams dealing with PIO/C's (with 2nd segment of project number)

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
POSITION DESCRIPTION NUMBER. PM Internal Procedures Manual	XXXXX e.g., 12345	PM	RAMPS IV SPAR AID 4-512 SF 50, Notification of Personnel Action
POSITION SEQUENCE NUMBER (POSNO) - PM Internal Procedures Manual	XXXXXXXXXX e.g., Administrative Position	PM	RAMPS IV AID 4-512 SPAR
POSITION STATUS PM Internal Procedures Manual	X e.g., D = Delete on Departure of Incumbent C = Continuing Position	PM	Staffing Pattern - HB 32, Ch. 2 Staffing Pattern Action Request - HB 32, Ch. 2 RAMPS IV

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
POSITION, TYPE OF PM Internal Procedures Manual	X X T Workweek (second character) F = Regularly scheduled position with a required workweek of 40 hours or more (full-time) P = Regularly scheduled position with a workweek of less than 40 hours (part-time) I = Intermittent position without regularly scheduled workweek - employee called as needed and paid on an when-actually-employed (WAE) basis. Position Permanency (first character) P = Position intended to be in effect for more than one year at time of establishment, or a position that has been continuously occupied for a period of more than one year regardless of intent at the time of etablishment. T = Position intended to be in effect for less than one year	PM	Staffing Pattern - HB 32, Ch. 2 Staffing Pattern Action Request - HB 32, Ch. 2 RAMPS IV
POST (See REGIONAL/COUNTRY ORG NUMBER'S AND POST AND LANGUAGE and NONREGIONAL ORG NUMBER'S AND POST AND LANGUAGE CODE)			
POST PM Internal Procedures Manual	XX 34 = Oahu Island, Hawaii 69 = Dakar, Senegal	PM	Staffing Pattern - HB 32, Ch. 2 Staffing Pattern Action Request - HB 32, Ch. 2 RAMPS IV

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
POST CODE (See TIMEKEEPER'S UNIT CODE)			
PROCUREMENT AUTHORIZATION AND U.S. GOVERNMENT AGENCY PURCHASE REQUISITION (PA/PR) HB 15	* XXX XXX XXX XXX XXXX Serial Number Fiscal Year Appropriation Code Country of Source Commodity Code Benefiting Country Code	MS/OP/COMS	PA/PR, Block 1 - App. D7, HB 15 - Form AID 1160-5
PROCUREMENT AUTHORIZATION - OCEAN TRANSPORTATION M.O. 1095.3.1 HB 4	XXX XXX XX XXXX Serial Number Relief Agency Registrar Number Serial Number Fiscal Year Fill-in (always XX) Commodity Code (always 950) Area Code - Always 899 Worldwide	MS/OP/TRANS	PA's, Block 2 - Form AID 1160-4 Voluntary Agency Carrier Certificate Block 1 - Form AID 1550-1 Voluntary Agency Shipping Report Columns 10-13 - Form AID 1550-6 - Quarterly Report WOH/VFA Instruction
PROGRAM ASSISTANCE AGREEMENT NUMBER - GRANT (LOAN) HB 18, App. D Also called NONPROJECT ASSISTANCE - HB 4	XXX X XXX Serial No. in range of Type of Grant (K = SA, N = CF) HB 18 Geographic (Country) Code - HB 18	MS/OP/COMS *	2nd & 3rd segments make first 4 digits of 2nd segment of Disbursing Authorization Number Program Assistance Agreement Abstract, Block 1 (Form AID 1120-1) Implementation Letter Commodity Procurement Instruction, Block 2 - (Form AID 1130-1) Financing Request, Block 6 - Form AID 1130-2 Multi-Use Requisition, Block 19 - App. D10, HB 15

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
PROGRAM ASSISTANCE AGREEMENT NUMBER - GRANT (LOAN) (Continued)			Special Letter of Credit Application, Block 1 Status of Active Program Assistance Agreements, Report U-316 - 1st Column - Report W-214
PROGRAM SPONSOR CODES HB 9	XXX XXX 018 = American National Red Cross e.g., ANR	FVA/FFP	Food for Peace Management Information Systems and Commodity Systems
PROJECT ACTIVITY NUMBER (See PROJECT NUMBER)			
PROJECT IMPLEMENTATION ORDER AID/W and Missions - HB 10	XXX XXX X XXXXXXX Serial Number HB 18 Office Subdivision HB 17 Allottee Code HB 18 Type of Document - HB 18 Project Serial Number "9" and Allottee Code if AID/W or Geographic Code	PPC	PIO/C Form Carries Project No. (Block 3) Appropriation Symbol (Block 4), and Allotment Symbol (Block 5) Letter of Commitment Application/Amendment Block 4 or 5 Multi-Use Requisition (FEDSTRIP), Block 19 - App. D10, HB 15 Telegrams dealing with PIO/C's (with 2nd segment of Project Number) PIO/P's Block 2 - HB 10 Living Allowance Checks Request - HB 10 Participant's Location Report - HB 10 Statement of Account of Departing Participants - HB 10 Predeparture Checklist - HB 10 Communications Seminar Form - Training Procedure (TP) 20 - HB 10 Participants Bio Data Form - HB 10 Conditions of Training Form, Block 2 - HB 10 Arrival Data Form - TP 4 - HB 10

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
PROJECT IMPLEMENTATION ORDER AID/W and Missions - HB 10 (Continued)		PPC	DSP 66 (Visa) Form - TP 21 - HB 10 Participant Program and Training Data - 1st segment - HB 10 Visa Extension Letter Form - TP 21 - HB 10 Expiration of Stay Report - TP 37 - HB 10 Arrival Notice Cable - HB 10 Program Itinerary and Travel Request - TP 7 - HB 10 International Ticket Receipt - TP 7 - HB 10 Order for Supplies and Services - TP 38 - HB 10 Dependent Certification - HB 10 Operation of Vehicles Form - TP 9 - HB 10 Declaration of Contents Form - HB 10 Insurance Claim Form - TP 32 - HB 10 Professional Society Form - TP 31 - HB 10 Participant Workload (U-437) Report - HB 10 Recommendation for Certificate of Cooperation Award - TP 34 - HB 10 Telegrams pertaining to PIO/P's (with 2nd and 3rd segment of old Project Number - HB 10) PIO/T's, Block 2 PASA, Block 2 - HB 10 Certificates of Candidates Qualifications Bill for Collection Notice of Collection/Adjustment Status of Advances to Contractors Form Cost-Type Research Contract Individual Procurement Action Request Form Investment Advisory Center Contract Telegrams relating to PIO/T's (with 2nd and segment of Project Number)

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE *	REQUIRING OFFICE	WHERE FOUND
PROJECT NUMBER (CURRENTLY USED) HB 3, App. 6A	XXX XXXX XX XX: Suffix, Activity Component Code (Operational); e.g., 01-79 XXXX: Serial Number for Project/Activity Identification; e.g., 0001 to 9999 XXX: Country Code; e.g., 511 = Bolivia, 932 = PHA	PPC/PB FM/FCD *	Project Authorization, Block 1 Project Agreement, Block 1 Staffing Pattern - 8th Column - (3rd & 4th segments only) U-203 Report - Column 1 - HB 19 Capital and Technical Loan Authorizations and Agreements Capital Projects Progress Reports PIO/T, Block 3 Bio Data Form, Block 4 - HB 10 Hospitality Form, Block 2 Dependents Certification, Block 2 Participant Workload, U-437 Report - Column 1 - HB 10 Third Country Training, U-137 Report - Column 4 - HB 10 PIO/C, Block 3 - App. D6, HB 15 Telegrams dealing with Projects Transfer of Title Form PROP Heading PIP Forms SPAR, Item 229, for Mission Positions (3rd and 4th segments) Multi-Use Requisition, Block 19 - App. D10, HB 15 Borrower/Grants Contract Summary (W-74A) Report, Section I Special Letter of Credit Application, Block 1 Designation distribution of East Africa Documents

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
PROJECT NUMBER (CURRENTLY USED) (Continued)			SF 52, AID 4-512, Item F for Nonregional Positions (3rd & 4th segments) AID/W Quarterly Porject Report (W-203) - Column 1 - HB 19 AID/W PIO Documents, Block 3
PROPERTY CODE (Material pertaining to the use of this code contained in "Personal Property Management Information System - Guidelines" dated September 1, 1976	XXX XXXX Control Number Object class	MS/MO	OF 128, Composite Property Record Card Form AID 5-73, Nonexpendable Personal Property Disposal Record - Missions
PURCHASE ORDER NUMBER - See AWARD NUMBER, AID-DIRECT			
REEMPLOYMENT RIGHTS PM Internal Procedures Manual	X e.g., A = AID employees with re-employment rights to another federal agency	PM	RAMPS IV EDR Print Suspense Roster in RAMPS
REGION CODE HB 9	XX 00 = United States	FVA/FFP	Food for Peace Interagency Information Systems and Commodity Systems

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
REGIONAL AGGREGATION CODES	XXX 100 = Europe Aggregation	PPC/PDPR ESDB	Used in Economic and Social Data Banks for Statistical Aggregation purposes
REPORTS CONTROL SYMBOL HB 18, Part V, Ch. 4	X - XXXX/XX Serial Number	MS/IRM/PE	All AID Reports Reports Approval Application - Form AID 3-198
1. AID REPORTS	W = AID Initiated or U = Mission Initiated		
2. CONGRESSIONAL REPORTS	CONG - X - XXXX Sequence Number L = Legislation R = Request Presidential P = Presidential Determination		Used on all reports required by Congressional Mandate or Committee
3. INTERAGENCY REPORTS	XXX - XXX - XX Report Frequency; e.g., MO = Monthly Agency Code; e.g., AID = Agency for International Development Sequence Number assigned by National Archives and Records Services		Used on all reports required by
RESOURCE SUPPORT SERVICE AGREEMENT NUMBER - See AWARD NUMBER, AID - DIRECT			
RETIREMENT SYSTEM, TYPE OF PM Internal Procedures Manual	X e.g., 1 = Civil Service Retirement System	PM	RAMPS IV SF 50, Notifications of Personnel Action Block 8 SF 52, Request for Personnel Action, Block 8

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE *	REQUIRING OFFICE	WHERE FOUND
SCHEDULE OF PAYMENT NUMBER (SF 1166) - Mission	X X XXXXXX Serial Number L = Local Transportation T = International Transportation I = Interest B = Bureau Voucher Fiscal Year Designator	Mission	SF 1166
SERVICE CODE NUMBER Federal Acquisition Regulation (FAR) 5.207 Contract Information Bulletin (CIB) 87-29	X Type of Service To Be Provided Under the Award	MS/OP/PS; Commerce * Business Daily (CBD)	Procurement and award notices submitted to the Commerce Business Daily for publication
SEX PM Internal Procedures Manual	X e.g., M = Male F = Female	PM	EDR Print RAMPS IV
SOCIAL SECURITY ACCOUNT Social Security Administration	XXX XX XXXX Serial Number Group Number State/Area Code	PM	W-2 Form SF 171, Block 10 SF 50, Notification of Personnel Action, Block 2 SF 52, Request for Personnel Action, Block 2

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE *	REQUIRING OFFICE	WHERE FOUND
SOLICITATION DOCUMENT NUMBER CIB 89-30	Can Vary XX XXX XXX: Sequential Number for Each Solicitation Issued During the FY Beginning with 001 XX: Last Two Digits of the FY Can Vary: Division and Branch Designation of the AID/W Entity Issuing the Solicitation; Country Name for the Mission Issuing the Solicitation	MS/OP/PS Commerce * Business Daily (CBD)	Used in such solicitation documents as the Request for Proposal (RFP), Request for Technical Proposal (RFTP), Request for Expression of Interest (REI), and Invitation for Bid (IFB). Also used for soliciting applications for awards of grants and cooperative agreements. Used in Commerce Business Daily Award and Procurement Notices.
SPECIAL INTEREST PROGRAM PM Internal Procedures Manual	X 1 = Executive Development	PM	RAMPS IV
SPECIAL PIO's FOR INTER-COUNTRY TECHNOLOGY TRANSFER PROJECT ITT	598-0616 XXX XX XX XX: Serial Number XX: Country Specific Initiative XXX: Geographic (Country) Code HB 18 598-0616: Regional Project Number	DAA/LAC	ITT Project PIO's
SPECIAL QUALIFICATION PM Internal Procedures Manual	XX e.g., 01 = Airplane Pilot License	PM	Employee Data Record Print, HB 32, Ch. 2 RAMPS IV

* Revised

SECTION I C ENDIX D
INDEX OF A CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
STATE CODE FIPS FIPS PUB 5-1	XX XX 01 = ALABAMA AL	MS/IRM/PE	Used in Interagency Information Interchange
SUPERVISORY POSITION HB 28	X e.g., S = Supervisory	PM	Staffing Pattern - HB 32, Ch. 2 Staffing Pattern Action Request - HB 32, Ch. 2
SUPPLIER'S CODE HB 9	XXX e.g., 037 = Pillsbury Company *	FVA/FFP	FFP Interagency Management Information System and Commodity System
SUPPLY CODE NUMBER Federal Acquisition Regulation (FAR) 5.207 Contract Information Bulletin (CIB) 87-29	XX Type of Service To Be Provided Under the Award	MS/OP/PS; Commerce Business Daily (CBD)	Procurement and award notices submitted to the Commerce Business Daily for publication
SYSTEMS AND EQUIPMENT FOR NEW VEHICLES (Automotive) HB 23, App. 6C1	XX e.g., H3 = Clutch	MS/MO	Motor Vehicle Record, AID 5-197 *

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
TENURE GROUP PM Internal Procedures Manual	X e.g., 2 = Group II	PM	SF 50, Notification of Personnel Action Supp. 296-33 Employee Data Record Print - HB 32, Ch. 2 RAMPS IV
TOUR OF DUTY HB 27, App. 27-8 Timekeepers Manual	X D = Expert/Consultants *	FM/PR	
TIME AND ATTENDANCE HB 27	X e.g., 4 = Travel Time e.g., S = Sick Leave, etc.	FM/PR	Time and a Report Card, Form AID 7-314, HB 27 Foreign Nationals
TIMEKEEPERS UNIT CODE HB 27, App. 27-8 Timekeepers Manual	X XXX XX Location of Timekeeping Unit; e.g., 01 = Controllers Office Country or Organization Number; e.g., 683 = Niger Location of Employee; e.g., 0 = AID/OVERSEAS	FM/PR *	AID 760-10 - Time and Attendance Report
TRAINING COURSE CODES	XXX e.g., 401 = FSI Senior Seminar	PM	EDR Print RAMPS IV
TRAINING PURPOSE PM Internal Procedures Manual	X e.g., 4 = To improve present performance	PM	RAMPS IV

* Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
TRAINING, SOURCE OF PM Internal Procedures Manual	X e.g., 1 = Government Agency	PM	RAMPS IV
TRAINING TYPE OF (EMPLOYEE) PM Internal Procedures Manual	X e.g., 2 = Supervisory	PM	RAMPS IV
TRANSACTION (BILLING) HB 19, Ch. 7	XX e.g., 62 = bills issued *	FM/CARD	Bill for Collection and Notice of Collection/Adjustment, Form AID 7-129
TRANSFER AUTHORIZATION HB 22	XXX XXXX XXX XXXX Serial Number Fiscal Year Country of Source Commodity Code Recipient Country Code	MS/OP/COMS	Transfer Authorizations (U.S.D.A.) Referenced on PAIPR's
TRAVEL AUTHORIZATION AID/W HB 22 (See also HB 19 and OBLIGATION DOCUMENT NUMBER)	XXXXXXX Document Serial Number Organization Subdivision Allottee Code	MS/MO/TTM	Travel Authorization - HB 22 Block 7 takes Appropriate Symbol and Allotment Symbol Copies 2 thru 8, show Object Class Code Travel Voucher - SF 1012 Travel Advance - SF 1038 Travel Reimbursement
TYPE OF BILLING HB 19, Ch. 7	X e.g., 0 = Voluntary Relief Agencies, 3 = Suppliers	FM/CARD	Bill number or Notice of Collection/ Adjustment Number, 1st digit of 3rd segment Form AID 7-129 Report U-141
TYPE OF CARGO HB 15	X 1 = Bulk, 2 = Berth, 3 = Tanker, 8 = C & F or CIF	MS/OP/TRANS *	Report of Commodities Shipment, U-118 - Column 8

*Revised

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
TYPE OF GRANT - PAAD AND AGREEMENT HB 18	X e.g., K = SA, N = contingency Fund, etc.	PPC	Grant PAAD Number, 2nd segment Program Assistance Agreement, 2nd segment Disbursing Authorization, 1st digit of 2nd segment
TYPE OF LAST PAY CHANGE PM Internal Procedures Manual	X e.g., S = Periodic Step Increase	PM	Employee Data Record Print - HB 32, Ch. 2
TYPE OF LOAN HB 18	X e.g., A = DLF, Loan Authorized by the Former Development Loan Fund	FM/LMD	Loan Number, 2nd segment - HB 18 PAAD Number, 2nd segment - HB 18 Disbursing Authorization, 1st digit of 2nd segment - HB 18 Loan Authorization Number, 2nd segment
TYPE OF PIO DOCUMENT HB 18	X e.g., 1 = Participant Training 3 = Contractual Services	PPC	PIO/P, PIO/C, and PIO/T Numbers, 3rd segment
TYPE OF TRAINING HB 10	X No longer used	OIT	No longer used
UNFUNDED PIO/P's	XXX X 9 XXX XXX: Location of responsible office country code for USAID, "9" plus PM Bureau/office code for AID/W (36 OIT) X: Fiscal year designator ("7" = FY 87, "8" = FY 88 9: "9" designated Nonfunded PIO/P's XXX: Sequential Number assigned by either Mission, Bureau or OIT	OIT	Unfunded PIO/P's Primarily for OIT

SECTION I OF APPENDIX D
INDEX OF AID CODES

CODE TITLE AND AUTHORIZING HB REFERENCE	CODING STRUCTURE	REQUIRING OFFICE	WHERE FOUND
VEHICLE CATEGORY HB 23, Ch. 6, Sec. 6N	XX e.g., 5a = Jeep, IH Scout, Ford Bronco, Chev. Blazer, or other similar types 4x4	MS/MO	Form AID 5-197, Motor Vehicle Record
VETERAN PREFERENCE PM Internal Procedures Manual	X e.g., 2 = 5-Point Preference	PM	RAMPS IV SF 50, Notification of Personnel Action Block 5 SF 52, Request for Personnel Action Block 5, EDR Print
VOLUNTARY FOREIGN AGENCY (ALPHA) HB 18, App. D, Att. J	XXX Agency; e.g., ARP = American Relief for Poland	FVA/PVC	Overseas Freight Transportation PA's, 2nd, 3rd, and 4th digits of 4th segment of PA Number VolAgency Quarterly Report of Shipping Activity, FVA Instruction
VOLUNTARY FOREIGN AGENCY (NUMERIC) HB 3, App. 7E	XXX e.g., 128 = American Dentist for Foreign Service	FVA/PVC	VolAgency Quarterly Report of Shipping Activity
VOUCHER AND SCHEDULE OF PAYMENTS (SF 1166) NUMBER - AID/W	FACS Generated Number * See Terminal Operator's Guide	FM/FACS *	SF 1166, SF 1034
VOUCHER NUMBER	X XXX X XXX Serial Number L = Local Transportation T = International Transportation I = Interest Payment or as Additional Serial Number Geographic (Country) Code Fiscal Year Indicator		

* Revised

SECTION II

AID CORE CODES

AND

COMPOSITE CODES

SECTION II

AID CORE CODES

AND

COMPOSITE CODES

CODE NAME	PAGE NUMBER
A. PROJECT ACTIVITY IDENTIFICATION AND CLASSIFICATION SYSTEM (Effective on October 1, 1976)	D II-1, D II-2
B. PROJECT NUMBER (Used prior to October 1, 1976)	D II-2 - D II-4
C. ALLOTMENT SYMBOL	D II-4 - D II-7
D. AID LOAN NUMBER	D II-8 - D II-9
E. PAAD AND NONPROJECT AGREEMENT NUMBER (Formerly PROGRAM ASSISTANCE)	D II-9 - D II-10
F. DISBURSING AUTHORIZATION NUMBER	D II-10
G. PROJECT IMPLEMENTATION ORDER NUMBER	D II-11, D II-13
H. FUNDS CONTROL NUMBER - AID/W	D II-13, D II-14
I. FACS BUDGET PLAN CODES	D II-14, D II-20
1. ALLOTMENT CODE	D II-15, D II-16
2. ORGANIZATION CODE	D II-16, D II-18
3. FUNCTION CODE	D II-18, D II-19
4. SPECIAL USES CODE	D II-19, D II-20

A. PROJECT ACTIVITY IDENTIFICATION AND CLASSIFICATION SYSTEM
(Effective on October 1, 1976)

This identification and classification system is used for all AID-financed project and nonproject assistance activities. The system has been developed to enhance AID capability to retrieve information on planned, on-going, and completed projects and activities.

1. COMPONENTS OF THE SYSTEM

The Project Activity Identification and Classification system is composed of a seven-digit project number, a three-digit purpose code, a three-digit technical code and a three-digit special concerns code.

Project Activity Number

XXX 0XXX

Sequential Serial Number

Geographic Code - See Section III, Table 11

Project Activity Number - This two-segment identifier consists of:

(1) A three-digit geographic code to identify the country, regional or interregional location of the project/activity.

(2) A four-digit sequential serial number with a zero in front of the assigned three-digit indicator.

Project/Activity serial numbers are reused. Since the project/activity is numbered before the project is approved, there will be instances where a number will have to be retired without it being used to identify an on-going project. Project/Activity numbers may also use an optional (but hopefully seldom needed) two-digit decimal suffix for subprojects/subactivities.

NOTE: Special Concerns Codes and Activity Purpose Codes will be affected by a forthcoming revision to the AIC (Activity Identification and Classification System.

B. PROJECT NUMBER (Used prior to October 1, 1976)

1. PROJECT NUMBER - AID/W

This project number was used to identify AID/W-funded projects prior to October 1, 1976. Explanation of the old number has been retained to assist users of this documentation.

a. Composition of Number - The number was made up of 13 digits divided into five segments separated by hyphens.

First Segment		Second Segment		Third Segment		Fourth Segment		Fifth Segment
9XX	-	XX	-	XXX	-	XXX	-	XX

- Fifth Segment (XX): Activity Component Code
- Fourth Segment (XXX): Serial Number
- Third Segment (XXX): Technical Code
- Second Segment (XX): Category Code
- First Segment (9XX): "9" followed by Allottee Code

(TEXT CONTINUED ON PAGE DII-3)

(1) First Segment - AID/W Identifier (9) and Allottee Code

The first position of this segment was always "9" (AID/W Identifier). The second and third positions of this three-position code were the "Allottee Code."

(2) Second Segment - Category Code

* This two-digit code indicated whether the project was grant funded, loan funded, mixed, or funded under the Food for Peace program. *

(3) Third Segment - Technical Code

This three-digit code indicated the technical field involved in the project/activity.

(4) Fourth Segment - Serial Number

This is a three-digit serial number assigned consecutively to each project allottee when it entered the planning stage. This number was used through the life of the project and was not reused.

(5) Fifth Segment - Activity Component Codes

This two-digit number identified the specific method of implementation of the project.

2. PROJECT NUMBER - MISSION

Each project was assigned a number for identification and control of the project itself and all pertinent documents. This number was assigned when the Mission or other programming entity started to plan or discuss the project. Once a number was assigned to a project, it was never reused.

a. Composition of Number - The Mission project number consisted of eleven (11) digits divided into four basic segments by hyphens.

First Segment	Second Segment	Third Segment	Fourth Segment
XXX	XX	XXX	XXX
Geographic Code	Category of Assistance Code	Technical Code	Project Serial Number

* Revised

(1) First Segment - Geographic Code

This three-digit code identified the benefiting country, region, area, or for interregional projects, the AID/W organizational entity sponsoring project.

(2) Second Segment - Category of Assistance Code

(a) This two-digit code identified projects as grant, loan, grant and loan, and Food for Peace (FFP) agricultural commodities.

(3) Third Segment - Technical Code (Field of Activity)

This three-digit code identified the functional field to which the project was principally directed.

(4) Fourth Segment - Project Serial Number

(a) This was a three-digit number assigned in numerical sequence to each project. (1) by the responsible Mission for projects in the respective country program and (2) by other programming entities (e.g., the AID/W sponsor) for regional or interregional projects.

(b) Once assigned to a project, this number was never reused.

(c) Amended projects, unless substantially changed, retained the original number.

(d) The number "000" was assigned to general and miscellaneous technical support activities in each country or area program.

(e) All portions of a project were assigned the same serial number whether dollar or local currency funded.

C. *Allotment Symbol

This symbol is used to identify Agency allotment accounts. It is used to provide optimum disclosure of financial data required by AID management. It is designed to make feasible the production of financial reports by automated processes in AID/W and some Missions having automated systems. This symbol is included on all documents which affect Agency funding. These include, but are not limited to, Applications for Training, Travel Authorizations, Notice of Personnel Actions, PAAD's, L/COM's, PIO's, and Bills for Collection.

* Used prior to October 1, 1981. See Section I for material on new allotment symbol structure used with the Budget Plan Code effective October 1, 1981.

1. Composition of Symbol

Allotment symbols consist of six hyphenated segments, each of which is comprised of either two or three digits, and is constructed as follows:

First Segment	Second Segment	Third Segment	Fourth Segment	Fifth Segment	Sixth Segment
XXX	XX	XXX	00	XX	XX

Sixth Segment (XX): Fiscal Year Designator Code See Table 10

Fifth Segment (XX): Allotment Purpose Code - See Table 3

Fourth Segment (00): Functional Code (Always 00)

Third Segment (XXX): Geographic Code (Benefiting Country Code) See Table 11

Second Segment (XX): Allottee Code - Table 4

First Segment (XXX): Appropriation Code/Foreign Currency Fund Code - See Table 1 for Appropriation Funds and Table 2 for Foreign Currency Fund Code

a. First Segment - Appropriation Code/Foreign Currency Fund Code

(1) Appropriation Code

This three-digit code identifies the appropriation/activity under which the allotment is issued. The first digit indicates the fiscal year to which appropriation applies. In the event the appropriation is a no-year account, the first digit identifies the fiscal year in which the account was first established for Agency uses. The second and third digits identify the specific selected appropriation.

(2) Foreign Currency Fund

The first digit identifies the type of fund. See Table 2a. The second and third digits identify the type of currency and the country. See Table 2B.

b. Second Segment - Allottee Code

This two-digit code identifies the title of the AID officials to whom funds are allocated.

c. Third Segment - Geographic Code (Benefiting Country Codes)

This three-digit code identifies the country or region which will derive the ultimate benefit from the funds allotted. Selected special codes have been assigned for allotments for other data having United States, worldwide, or regional coverage.

d. Fourth Segment - Functional Codes

This two-digit code is "00" in all cases.

e. Fifth Segment - Allotment Purpose Code

*This two-digit code further qualifies the purpose for which the appropriation is used. The treatment of the program in the Operational Year Budget (OYB) serves as the basis for deciding the purpose code to be used.

f. Sixth Segment - Fiscal Year Designator Code

The fiscal year designator code comprises the sixth segment of the U.S. dollar and foreign-currency allotment symbol. It consists of two digits:

*

(1) The first digit of this segment indicates the fiscal year in which the allotment is available for incurring and/or liquidation obligations; e.g., 7-1987, 8-1988. *

(2) The second digit indicates whether the allotment is issued against current fiscal year funds or prior fiscal year funds. The same digit system of fiscal year designator is used for the annual and the no-year appropriations.

---

*Note: This code is different from the Activity purpose Code used in the new Project/Activity Identification and Classification System.

---

* Revised

1 - Current Year Allotment Available for Obligation

2 - Prior Fiscal Year Funds, Current Fiscal Year Reallotments*

3 - Prior Fiscal Year Unliquidated Obligation

* Example for Fiscal-Year 1988 Fund:

843-50-492-00-69-81

FY 1988	Current-Year Allotment Available for Obligation

843-50-492-00-69-82

FY 1988	Prior Fiscal-Year Funds Current Fiscal-Year Reallotments*

843-50-493-00-69-83

FY 1988 *	Prior Fiscal-Year Unliquidated Obligations

(3) Foreign Currency and Trust Account Designator

The two-digit combination of "00" is used only in the Foreign Currency and Trust Accounts.

---

*Used only when specifically authorized by the Congress in the Appropriation Act for projects or programs previously justified. Deobligations of Functional Accounts are reallocated under the current fiscal year second-digit indicator "1" and are not separately identified. Separate reallotment accounts are required for all other allotments because of legislative restrictions and the need for proper control over their use. Controlled reallotments accounts are made under the current fiscal-year, second-digit indicator "2" plus the current fiscal year appropriation code.

---

* Revised

(4) AID/W Designator for Reporting Purposes

There are three identifying combinations of fiscal-year indicators used by AID/W for machine reporting purposes only. These are as follows:

* __A = Accrued Expenditures - e.g., 8A - Fiscal Year 1988 Accrued Expenditures

__5 = Undistributed Expenditures - In transit - e.g., 85 - Fiscal Year 1988 Undistributed Expenditures *

70 = Closed Allotments - for all fiscal years

D. AID LOAN NUMBER

The Loan Division, FM/LM assigns a number to each loan authorized by the Agency. This loan number is used on all loan documentation including:

1. Loan Authorization for dollar Capital and Technical Assistance;

2. Local Currency Loans

3. Loan Agreements;

4. All implementing documents and correspondence relating to a loans; and

5. Nonproject (formerly Program Assistance) Loan Agreements. Loans authorized by AID or predecessor agencies before July 1, 1962, will retain their original numbers for purposes of official correspondence and reports. They will be renumbered by FM/LMD within the numbering system described below for machine purposes only.

a. Composition of Code

The loan number consists of seven characters, broken into three segments, each of which is separated by a hyphen.

First Segment	Second Segment	Third Segment
XXX	X	XXX

XXX — Geographic Code (Benefiting Country Code) - See Table 11

X — Funding Source - See Table 6

XXX — Serial Number (001-599)

* Revised

(1) First Segment - Geographic Code (Benefiting Country Code) This three-digit identifies the benefiting country and region.

(2) Second Segment - Funding Source

This is a one-position alpha character. (See APD III Table 6)

(3) Third Segment - Serial Number

Serial numbers are assigned in separate series for each loan within a country beginning with 001 and continuing through 599.

E. PAAD AND NONPROJECT AGREEMENT NUMBER (Formerly PROGRAM ASSISTANCE)

* The Accounting Division, FM/A/PNP, is responsible for assigning the NONPROJECT Grant Agreement number. FM maintains control and assigns the agreement authorization number for loans (FM/LM) and for grants (FM/AD) for NONPROJECT assistance covered by Handbook 4- Nonproject Assistance. *

This number is used to facilitate the identification, processing, and control of documents and for the classification of data for program management, financial reporting, and statistical reporting. The numbering systems explained below are identified with grants only.

Composition of Number

This number consists of seven characters broken into three segments each of which is separated by a hyphen.

First Segment		Second Segment		Third Segment
XXX	-	X	-	XXX

XXX — Geographic Code (Benefiting Country Code) - See Table 11

X — Funding Source Code - See Table 6,

XXX — Serial Number (601-999)

1. First Segment - Geographic Code

This three-digit code identifies the benefiting country.

* Revised

2. Second Segment - Funding Source Code

A single-digit alpha designator is assigned in accordance with the applicable codes which are the same as the alpha designators used for loan numbers. See Table 6, Section III

3. Third Segment - Serial Number

This is a three-digit number assigned in numerical sequence within a country, beginning with 601 and continuing through 999 for grants.

F. DISBURSING AUTHORIZATION NUMBER

* This number is assigned by FM/LM (loans) and by FM/AD (grants) to the disbursing authorization and is entered on all related documents, including suppliers' certificates, which are submitted to U.S. banks or to AID/W for payment. *

Composition of Number

This nine-character number is separated into two segments by a hyphen.

First Segment		Second Segment	
XXX	-	XXXX . XX	
		XX	Serial Number
		XXXX	Letter and Serial Number
XXX	Geographic Code (Benefiting Country Code) - See Table 11		

1. First Segment - Geographic Code

This three-digit code identifies the benefiting country.

2. Second Segment - Serial Number

This six-character number is composed of two parts.

(a) The first four characters are the letter and serial number of the loan of grant agreement concerned.

* Revised

(b) The last two digits are assigned sequentially within each agreement beginning with "01."

G. PROJECT IMPLEMENTATION ORDER NUMBER

This number is used to identify PIO/P's - Participant Training, PIO/T's - Technical Services, and PIO/C's - Commodities.

1. Missions

This number is used for all Mission Project Implementation Order documents.

(a) Composition of Number

The document number consists of 12 digits, separated into four segments. An explanation of each of these segments follows:

First Segment	Second Segment	Third Segment	Fourth Segment
XXX	XXX	X	XXXXX

Document Serial Number

PIO Document Code - See Table 12

Project Serial Number

Geographic Codes - See Table 11

(1) First Segment - Geographic Code

This three-digit code identifies the benefiting country and region.

(2) Second Segment - Project Serial Number

This three-digit number, assigned in numerical sequence to each project.

(3) Third Segment - Type of Implementing Document

This one-digit number identifies the type of document and the general reason for its issuance.

(4) Fourth Segment -Document Serial Number

This is a five-digit identification number assigned to PIO by the Mission Controller for country projects.

(a) The first digit identifies the fiscal year the allotment was reserved, obligated.

(b) The last four digits are assigned in numerical sequence to PIO's as they are initiated or issued. Numbers run consecutively throughout a fiscal year for the country or program as a whole (not a separate series for each filed of activity).

(c) The numbers 9001 through 9999 are reserved for AID/W usage.

2. AID/Washington

This number is used for all AID/Washington Project Implementation Order documents.

a. Composition of Number

The AID/W PIO number is made up of 14 digits which are separated into four major segments.

First Segment	Second Segment	Third Segment	Fourth Segment
0XX	XXX	X	XXXXXXX

Fourth Segment: Obligation Number - See Section H

Third Segment: PIO Document Code - See Table 12

Second Segment: Project Serial Number

First Segment: AID/W Identifier (0) and Allottee Code - See Table 4

(1) First Segment - AID/W Identifier (O) and Allottee Code

The first position of this segment is always an "O" (AID/W Identifier). The second and third positions of this three-position code are the "Allottee Code."

(2) Second Segment - Project Serial Number

This is a three-digit serial number assigned consecutively to each project by allottee when it enters the planning stage. This number is used through the life of the project and is not reused. This code is the "Project Number - AID/W" described previously in Section G.

(3) Third Segment - Type of Document

This one-digit number identifies the type of document and the general reason for its issuance.

(4) Fourth Segment - Obligation Number

See "Obligation Number - AID/W," described previously in Section H, for an explanation of this number and its composition. The obligation number consists of seven-digit maximum.

H. FUNDS CONTROL NUMBER - AID/W

The funds control number associates the document to be reserved for obligation with the AID/W organizational unit, the fiscal year in which it occurred and the consecutive sequence for documents issued from the beginning of a fiscal year. These numbers are assigned to each Office or Bureau by their respective FM servicing Division at the beginning of each fiscal year.

1. Composition of the Funds Control Number

This number is seven digits in length and is divided into three separate segments. These are:

First Segment	Second Segment	Third Segment
X	XX	XXXX
		Document Serial Number
	Organizational Identifier	
Fiscal Year Indicator		

a. First Segment - Fiscal Year Indicator

This is a single digit representing the last digit of the fiscal year.

b. Second Segment - Organizational Identifier

This is a two digit number composed of the second and third digits of the organizational code. There are certain exceptions to the rule when these digits are "00". Handbook 17, Appendix 1.

c. Third Segment - Document Sequential Number

This four-digit serial number is assigned sequentially within each fiscal year.

I. FACS BUDGET PLAN CODES

AID utilized the FACS Budget Plan Code not only for control of funds but also for administrative convenience and reporting. AID currently manages in excess of 8000 Budget Plan Code. As a result of OMB and GAO criticism of the Agency's risk of Section 3679 violations AID developed this flexible coding systems for it numerous appropriations and management units for the implementation of the Financial Accounting Control System.

This symbol is used to identify Budget Plan accounts. It is used to provide optimum disclosure of financial data required by AID management. It is designed to make feasible the production of financial reports by automated processes in AID/W and some Missions having automated systems. This symbol is included on all documents which affect Agency funding. These include, but are not limited to, Application for Training, Travel Authorizations, Notice of Personnel Actions, PAAD's, L/COM's, PIO's, and Bills for Collection.

Implementation of a Budget Plan Code provides the flexibility for:

1. Allotment of funds at the highest practical level.

2. Fund Control at various levels as determined by AID managers.

3. Identification of fund managers.

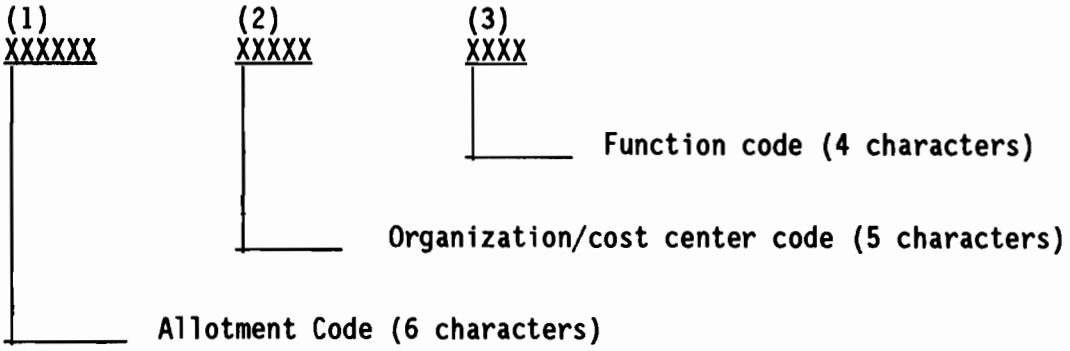
4. Identification and management of costs below the fund control level by organization and/or function.

5. Reporting capabilities at various levels, organizational areas and functions.

The BPC will serve as (1) the mechanism for allocating the Operational Year Budget (OYB) to fund managers, (2) a basis for management control at the organizational level or functional activity below the allotment and (3) the mechanism for capturing budget and management information at the obligation and expenditure levels.

SEGMENTS OF BUDGET PLAN CODE

The Budget Plan Code is a 15-character code which is divided into three segments structured as follows:



1. ALLOTMENT CODE: The allotment code is a six-character, structured, alphanumeric code (first segment of BPC). The first position identifies the allottee, the second and third positions the appropriation; the fourth position the type of funds, and the fifth and sixth position the fiscal year when funds are available for obligation. Numeric allottee codes have been reserved to identify other agencies' funds when AID is providing an accounting service for another agency, e.g., the Sinai Support Mission. Alphabetic allottee codes are reserved for AID. Allotments will normally be limited to the Assistant Administrator level except that all Operating Expenses (OE) will be allotted to the AID Controller. The appropriation code is a structured code assigned to each AID appropriation. Structured codes have been assigned to appropriations which have FY 1981 funding authority or currently have unliquidated balances. The allotment code is structured as follows:

X XX X 82

82 — Fiscal Year (82=FY 1982)

X — Type of Appropriation

A = Annual Funds

0 - 9 = Initial fiscal year of multiyear funds, e.g.,

4 = FY 1974

X = No year funds including revolving, unappropriated or management type funds

XX — Appropriation code (DA = Development Assistance: OE = Operating Expense)

X — Allottee code (3 = SSM; A = AID Administrator)

2. ORGANIZATION CODE: The BPC will contain only the first 5 digits of the AID organization code (second segment). This will allow for budgeting and management of funds as low as the "Division" level. In those few instances where management of funds or identification of costs is required below this level the function code may be used to identify these cost centers. The 5-digit organization code for the most part is identical to the first 5 digits of the AID/W organization codes and the AID overseas organization codes as listed in Appendix 1 and Appendix 4 of AID Handbook 17 respectively and Table 17 - Appendix D, Handbook 17. The organization code segment of the BPC is structured as follows:

10000	AID/Washington
20000	USAID-managed funds
30000	AID/Washington managed funds benefiting a USAID
40000	Allocations to other Agencies
70000	Other Agency Funds managed in AID/W

80000	Other Agency Funds managed by a USAID
90000	Other Agency Funds managed in AID/W but benefiting an overseas location

The AID/W Organization codes are structured as follows:

1 XX X X

- X — Division within a Bureau or Branch of major office.
- X — Office within a Bureau or Division within a major office.
- XX — Bureau or office reporting directly to A/AID
- 1 — AID/Washington

The USAID Organization codes are structured as follows:

2 X XXX

- XXX — Three digit-country or geographic code as listed in the AID Geographic Code Book
- X — Identifies the Region:
  1. Africa Region
  2. Trade and Development Program
  3. ENE Regional (formerly ANE Regional) *
  5. Latin America Region
  7. APRE Regional
  8. Inspector General - Overseas locations
  9 Nonregional *
- 2 — USAID Managed Funds

* Revised

When an organization code beginning with a 3 is used, it will indicate that funds are managed by AID/W but are to be identified to a benefiting Mission. The Number 3 in the first position will be used with a regional or Nonregional code and an eligible three position country/geographic code. Normal uses of these codes are for Loans, Nonproject (Program) Assistance, Disaster Relief, AID Reimbursable Development Programs and Oral Contraceptive Procurement. When an organization code begins with a 7, 8, or 9 this will identify a non-AID organization. A code beginning with a 7 will identify the other Agency in the second position and positions 3 through 5 may be used to identify various offices, divisions, or cost centers within each agency. When the organization code begins with an 8 or 9 the second position will normally be a 9 and will be used with an eligible country/geographic code similar to the use of overseas codes described above.

When an organization code beginning with 4 is used to indicate an allocation to another agency the second and third position will identify the other Agency as follows:

4 — Other Agency Allocation

XX — Treasury Symbol for "other Agency" (19 - State) Refer to Controllers Guide Book - Bulletin Agency Location Code

XX — will usually be "00". However, it may be used to identify Bureau within the other Agency.

3. FUNCTION CODES: (Third Segment) The function code is a four-position alphanumeric code. The code provides a classification system for Program Funds, Unappropriated Funds, AID/W operating expenses and USAID operating expenses. (See Table 17 for list of eligible codes):

Program funds will be classified as follows:

X — Major category or Function. A through K are reserved for Program funds: A through G, when used in conjunction with the Development Assistance (DA) appropriation, will identify the major "Functional" categories of the Foreign Assistance Act.

X — Will indicate "L" or "G" for Loan or Grant funds.

X — A two-digit specific purpose code.

Unappropriated/Revolving Funds will be identified as follows:

X XXX

A three-digit specific purpose or program identification code.

M Management, Unappropriated or Dollar Trust Funds
X Excess Property

Operating Expense Funds will be classified as follows:

X XXX

A three-digit specific purpose or cost center. The code will be exclusive within each major functional category. The codes will be alphanumeric and "chain-up" to the next more general category of expense until it reaches the major functional category.

Major Functional category. N through W are normally used only for OE funds. However, these functional categories may also be used with other appropriations when suitable for identifying administrative or operating type expenses: e.g., management or other Agency funds.

4. SPECIAL USES: The Budget Plan Codes, in addition to providing a uniform system for management of funds with identification of costs at various levels, should provide AID with a flexible system of transferring the management of funds without a major reallocation and de-allotment/ reallotment of funds. For example: The S&T Bureau may wish to transfer the management of a project or a portion of a project to a field location where the activity is being implemented while maintaining general oversight and identification of the activity to one of their Interregional Research activities. The S&T Bureau may issue a Budget Allowance to USAID/Kenya by using the organization code 29615 to indicate (1) overseas accounting station, (2) Nonregional activities and (3) USAID/Kenya implementation. The BPC would retain the allottee code D for AA/S&T (formerly DSB) and the applicable appropriation and function codes. Obligations and Expenditures will be reported via normal USAID "U" reports and combined with other DSB obligations and expenditures as shown below.

D — AA/S&T (Allottee).

DAA81 — Development Assistance Apprn. - FY 1981

13671 — S&T/ED

EGII — Education and Human Resources Project Grant Funds.

DDAA81 - 29615 - EGII

AA/S&T Allotted funds administered by USAID/Kenya.

DDAA81 - 00000 - EGII

Total of all E & HS project grant funds allotted to the AA/S&T for FY 1981.

* Questions about the FACS Budget Plan Code should be addressed to the Funds Control Division, Office of Financial Management, FM/FCD. *

* Revised

SECTION III

AID CORE CODE TABLES

SECTION III - AID CORE CODE TABLES

TABLE NUMBER	CODE NAME
1	APPROPRIATION CODES
1A	APPROPRIATION CODES - MULTIUSE STRUCTURED
2	FOREIGN CURRENCY FUNDS AND CURRENCY CODES
3	ALLOTMENT PURPOSE CODES (NO LONGER USED, EFFECTIVE OCTOBER 1, 1981)
4	ALLOTTEE CODES
4A	ALLOTTEE DESIGNATIONS
5	OBJECT AND SUBOBJECT CLASSIFICATION CODES
6	FUNDING SOURCE CODES FOR LOANS AND GRANTS
7	PROJECT PURPOSE CODES (PROJECT ACTIVITY IDENTIFICATION) (NO LONGER USED, EFFECTIVE OCTOBER 30, 1990)
8	TECHNICAL CODES (NO LONGER USED, EFFECTIVE OCTOBER 30, 1990)
9	SPECIAL CONCERN CODES (NO LONGER USED, EFFECTIVE OCTOBER 30, 1990)
10	FISCAL-YEAR CODES OF ALLOTMENT SYMBOL (NO LONGER USED, EFFECTIVE OCTOBER 1, 1981)
11	GEOGRAPHIC CODES
12	PIO DOCUMENT CODES
13	SPECIAL COMMODITY CODES DEVELOPED FOR AID PURPOSES
14	PRIVATE AND VOLUNTARY AGENCY (PVO) CODES
15	BUREAU NAME AND BUREAU SYMBOL
16	AID/W ORGANIZATION/COST CENTER CODES
17	FUNCTION CODES

TABLE 1

APPROPRIATION CODES

General Purpose: This table provides the symbols and titles assigned by the Department of the Treasury to AID for U.S. dollar funded appropri- ations, and the related codes assigned by AID to identify allotments issued, and activities related to Congressional line items in the legislation applicable to project funding.

* Responsible Office: Funds Control Division, Office of Financial Management (FM/FCD). *

Column 1 - Appropriation Symbol

This symbol is assigned by the Department of the Treasury. The composition of the symbol is as follows:

XX X XXXX

XXXX — Identifies the particular fund; e.g., 1021 - Development Assistance - Programs related to Agriculture, Rural Development, Population Growth, Nutrition, Education, etc.

X — Fiscal Year in which funds are available
X - no year, M - Successor Account 2 - 19823 - 1983 4 - 1984

XX — Department or Agency Account Symbol
11-Executive Branch (White House)
12-Commodity Credit Corporation

Column 2 - Appropriation Transfer Symbol

This symbol is based on the Appropriation Code (Column 1). The composition of the code is as follows:

XX XXXXXX X

X — Internal Accounting Suffix developed by AID

XXXXXX — Appropriation Symbol (Column 1)

XX — Agency to which funds were transferred 72-Agency for International Development 95-Sinai Support Mission

* Revised

Column 3 - Appropriation/Allotment Code

A three-digit code developed by AID to identify the appropriation/fund symbol assigned by Treasury:

e.g., 434 = Housing

Column 4 - Budget Plan Code Appropriation Alpha Code

In addition to the numeric codes appearing in the preceding columns there is also a two-digit alpha numeric code (which is the second and third places of the fifteen-digit BPC) to identify the funding/activity as shown in AID's legislation:

e.g., OE = Operating Expenses Annual
DN = Agriculture, Rural Development and Nutrition, Development Assistance

This two-digit code is followed by a single-digit code for the Type of Appropriation:

e.g., A = Annual Funds
0-9 = Initial Year of Multi-Year Funds
X = No Year Funds Including Revolving, Unappropriated or Management type Funds

Column 5 - Project Alpha Code Fund Designator

Additionally, there is a two digit alpha code identifying the project activity funding in AID's legislation.

e.g., ES = Economic Support Fund

Related Fund Code to Identify Miscellaneous Receipt Account

Handbook 19, Chapter 4, Supplement 4B, contains the Treasury Miscellaneous Receipt Account Symbols. A three-digit appropriation code has been assigned by FM/ASD and FM/CAD to account for the receipt accounts in AID/W Cash Journal System. The following is an example:

e.g., 723220 220 General fund proprietary receipt, not otherwise classified, all other

TABLE I
APPROPRIATION CODES

1. Appropriation Codes, with Related Symbols and Titles

CODES (Col. 1)	Transfer to AID: INTERNAL APPN ACTIVITY ALPHA SYMBOL (a) (Col 2)	BPC APPN SYMBOL (Col 3)	PROJ APPN ALLOT. (Col 4)	CODES (Col 5)	APPROP CODES (Col 6)	
11X1023	72-11X1023	402	FN	FN		Food and Nutrition, Development Assistance, Economic Assistance Executive FY 1974 - FY 1977
11X1024	72-11X1024	424	PH	PH		Population Planning and Health, Development Assistance, Economic Assistance, Executive FY 1974 1977
11X1025	72-11X1025	425	EH	EH		Education and Human Resources Development, Development Assistance Economic Assistance, Executive FY 1974 - FY 1977
11X1026	72-11X1026	426	SD	SD		Technical Assistance, Energy, Research, Reconstruction, and Selected Development Problems, Development Assistance Economic Assistance, Executive FY 1974 - FY 1977
11M1032	95-11M1032	286	PK	PK		Peacekeeping Operations, FY 1982 and Prior Years
72X6121(cty)(b)		612	IT	IT		Irrevocable Letters of Credit (Triangular) Issued to (country) AID.
72X6117(cty)(b)		617	SL	SL		Irrevocable Letters of Credit Issued to (insert city Name) AID
11M1030	72-11M1030	630	IP	IP		Indochina Postwar Reconstruction Assistance, Executive, FY 1976
72X6122(cty)(b)		662	BC	BC		Dollar Deposits by Barter Contractors, Government of (Country Name) AID
72X6122(899)(b)		662	BC	BC		Dollar Deposits by Barter Contractors for Excess Property Revolving Fund

1. Appropriation Codes, with Related Symbols and Titles (cont.)

Transfer to AID

APPN SYMBOL (a) (Col 1)	INTERNAL APPN SYMBOL (Col 2)	BPC APPN ALLOT. CODES (Col 3)	PROJ ACTIVITY CODES (Col 4)	APPROP CODES (Col 5)	ALPHA (Col. 6) TITLES
11M1000	72-11M1000	400	OE		Operating Expenses of the Agency for International Development, Executive, FY 1984 and Prior
11_1000	72-11_1000	_00	OE		Operating Expenses of the Agency for International Development, Executive
11_/_1000	72-11_/_1000	_00	OE		Operating Expenses of the Agency for International Development, Executive, Multi-Year
11X1012	72-11X1012	812	SH		Sahel Development Program, No-Year
11M1029	72-11M1029	729	AR		African Development Program, Economic Assistance, Executive, FY 1977
11X1031	72-11X1031	431 (d)			Disaster Relief Assistance, FY 1986 and Prior
11X1031	72-11X1031	431 (e)			Disaster Relief Assistance, FY 1987
72X4340		434	HG		Housing and other Credit Guaranty Programs, Agency for International Development
72X8502		490	TA		Technical Assistance, U.S. Dollars Advanced from Foreign Governments
11M1018	72-11M1018	518	PP		Prototype Desalting Plant, Economic Assistance, Executive (Transfer to AID), 1975 and Prior
11M1034	72-11M1034	734	PC		Assistance to Portugal and Portuguese Colonies, Executive, FY 1977 and FY 1978
11M1035	72-11M1035	435	FD		International Disaster Assistance, E.A., Executive, FY 1984 and Prior

1. Appropriation Codes, with Related Symbols and Titles (cont.)
Transfer to AID

APPN SYMBOL (a) (Col 1)	APPN SYMBOL (Col 2)	INTERNAL APPN ACTIVITY ALLOT. CODES (Col 3)	BPC (Col 4)	PROJ APPROP CODES	ALPHA CODES (Col 5)	TITLES (Col. 6)
11_1035	72-11_1035	_35	FD			International Disaster Assistance, E.A., Executive,
11_/_1035	72-11_/_1035	_03	FD			International Disaster Assist., Multi-Year
11_1036	72-11_1036	_36	FS			Foreign Service Retirement & Disability Fund, FY 1979
11X1035	72-11X1035	838	FD			International Disaster Assistance, Romanian Relief and Rehabilitation, FY 1977 (P.L. 95-148, Title VI)
11_1037	72-11_1037	_37				Economic Support Fund, FY 1979 (P.L. 95-481)
(c)	72-11_1021.3	43 (d)	DA			Agriculture, Rural Development, and Nutrition, Development Assistance, Internal Use of Suffix by AID/W only, FY 1986 and Prior, Annual
(c)	72-11_1021.3	43 (e)	DN			Agriculture, Rural Development, and Nutrition, Development Assistance, Internal Use of Suffix by AID/W only, Annual FY 1987
(c)	72-11_1021.4	_44 (d)	DA B			Population Planning, Development Assistance, Internal Use of Suffix by AID/W only, FY 1986 and Prior Annual
(c)	72-11_1021.4	_44 (e)	DP			Population Planning, Development Assistance, Internal Use of Suffix by AID/W only, Annual, FY 1987.
(c)	72-11_1021.5	_45 (d)	DA E			Education & Human Resources, Development Assistance, Internal Use of Suffix by AID/W only, FY 1986 and Prior Annual
(c)	72-11_1021.5	_45 (e)	DE			Education & Human Resources, Development Assistance, Internal Use of Suffix by AID/W only, Annual, FY 1987.

1. Appropriation Codes, with Related Symbols and Titles (cont.)

Transfer to AID

APPN SYMBOL (a) (Col 1)	APPN SYMBOL (Col 2)	INTERNAL APPN ACTIVITY ALLOT. CODES (Col 3)	BPC APPROP CODES (Col 4)	PROJ ALPHA CODES (Col 5)	ALPHA CODES (Col 6)	TITLES
(c)	72-11_1021.6	_46 (d)	DA D			Technical Assistance, Energy, Research, Reconstruction, and Selected Development Problems, Development Assistance, Internal Use of Suffix by AID/W only, FY 1986 and Prior, Annual
(c)	72-11_1021.6	_46 (e)	DS			Technical Assistance, Energy, Research, Reconstruction, and Selected Development Problems, Development Assistance, Internal Use of Suffix by AID/W only, Annual, FY 1987.
(c)	72-11_1021.7	_47 (d)	DA F			Child Survival Fund, Internal Use of Suffix by AID/W only, FY 1986 and Prior, Annual
(c)	72-11_1021.7	_47 (e)	DC			Child Survival Fund, Internal Use of Suffix by AID/W only, Annual, FY 1987.
(c)	72-11_1021.8	_48 (d)	DA C			Health, Development Assistance, Internal Use of Suffix by AID/W only, FY 1986 and Prior, Annual
(c)	72-11_1021.8	_48 (e)	DH			Health, Development Assistance, Internal Use of Suffix by AID/W only, Annual, FY 1987.
11_1021	72-11_1021	_49	DA			Development Assistance Programs, Economic Assistance, Executive
11X1021.7	72-11X1021.7	677	DA			Child Survival Fund, Development Assistance, No-Year
11M1005		455	IO			International Organizations and Programs, Economic Assistance Executive P.L. 95-148 FY 1984 and Prior
11_1005		_55	IO	IO		International Organizations and Programs, Economic Assistance Executive P.L. 95-148

1. Appropriation Codes, with Transferred Symbols and Titles (Transfer to A.I.D.)

APPN SYMBOL (a) (Col 1)	APPN SYMBOL (Col 2)	INTERNAL APPN ALLOT. (Col 3)	INTERNAL ACTIVITY CODES (Col 3)	BPC APPROP CODES (Col 4)	PROJ ALPHA CODES (Col. 5)	TITLES (Col. 6)
11M1006	72-11M1006	856	SA			Security Supporting Assistance, Economic Assistance, Executive, FY 1978 and Prior Years
11_1079	72-11_1079	_79	ME			Middle East Special Requirements Fund, Executive - Sinai S.M., FY 1979 and Prior Years
12X4336	72-12X4336	782	CC			Commodity Credit Corporation Capital Fund
11M1013	72-11M1013	494	AS			American Schools and Hospitals Abroad, Economic Assistance, Executive FY 1984 and Prior
11_1013	72-11_1013	_94	AS			American Schools and Hospitals Abroad, Economic Assistance, Executive
19M1143	72-19M1143	491	MR			Migration and Refugee Assistance (State Dept. P.L. (96-38), FY 1984 and Prior
19_1143	72-19_1143	_91	MR			Migration and Refugee Assistance (State Dept. P.L. (96-38)
11_/_1021	72-11_/_1021	_69	DA			Functional Development Assistance Multi-Year
11_/_1021.3	72-11_/_1021.3	_63	DA			Agriculture, Rural Development & Nutrition, Multi-Year
11_/_1021.4	72-11_/_1021.4	_64	DA			Population Planning, Multi-Year
11_/_1021.6	72-11_/_1021.6	_66	DA			Tech. Assist., Energy, R & R, Multi-Year
11_1007	72-11_1007	_05	IG			Operating Expenses, Inspector

1. Appropriation Codes, with Related Symbols and Titles (cont.)

Transfer to AID

APPN SYMBOL (a) (Col. 1)	APPN SYMBOL (Col. 2)	INTERNAL APPN ACTIVITY ALLOT. CODES (Col. 3)	BPC PROJ APPROP CODES (Col. 4)	ALPHA CODES (Col. 5)	TITLES (Col. 6)
11_/_1037	72-11_/_1037	_70	ES		Economic Support Fund, Multi-Year
115/71037	72-115/71037	571	EF		Economic Support Fund, Three-year
72-4/5434		440	PS		Private Sector Revolving Fund, Multi-Year
72X4341		482	PS		Private Sector Revolving Fund, No Year
11X1000	72-11X1000	011	OE		Operating Expenses of AID, No Year
11X1001	72-11X1001	201	TD		Trade & Development Program, No Year
11_1001	72-11_1001	_04	TD		Trade & Development Program
11X1037	72-11X1037	967	ES		Economic support Fund, No Year
72X8824AR		508	GD		Gift & Donations, AID (Disbursements)
72X8824		488	GD		Gift & Donations, AID (Available Receipts)
72X8502AR		502	TA		US Dollar Advances from Foreign Governments (Available Receipts)
72F3845		384	38		Proceeds of Sales of Personal Property
(c)		72-11M1021.1	441		Loan Clearing Account for Development Assistance and Disaster Assistance, Accounts
19X0113	72-19X01[illegible]	720			Sal[illegible]s and Expenses (State Dep[illegible]iplomatic Security

1. Appropriation Codes, with Related Symbols and Titles (cont.)

Transfer to AID

APPN SYMBOL (a) (Col. 1)	APPN SYMBOL (Col. 2)	INTERNAL APPN ACTIVITY ALLOT. CODES (Col. 3)	BPC PROJ APPROP CODES (Col. 4)	ALPHA CODES (Col. 5)	TITLES (Col. 6)
19X0113	72-19X0113	720	SE		Salaries and Expenses (State Dept. Diplomatic Security Program) No Year
1970113	72-1970113	719	SE		Salaries and Expenses (State Dept. Diplomatic Security Program) Annual

(a) Insert single digit in spaces marked to identify appropriate fiscal year. On Multi-Year funding _/_ first fiscal year designator is first available year and the last is the final year.
(b) Insert the three-digit country code in the parentheses (---) following the symbol and the name of the country in the blank section of the title.
(c) Use of the suffix is restricted to AID/W internal use only. USAID's are not to use the suffix on transactions through the Treasury U.S.D.O.'S.
(d) If inserted single digit in spaces marked to identify appropriate fiscal year is six (6) or less.
(e) If inserted single digit in spaces marked to identify appropriate fiscal year is seven (7) or greater.

TABLE 1a

APPROPRIATION CODES

MULTIUSE STRUCTURED CODES

Code Definition:

The first two digits of the code identifies appropriation title and symbol while the third digit identifies the type. Type X represents no year, A for Annual, and # for Multi-Year. The # symbol is replaced with the FY of two or more years of fund availability, e.g. appropriation codes of 72-11 8/9 1013 is the multi-year fund availability for 1988 and 1989.

Code	Appropriation Title	Approp. Symbol
APX	Acquisition of Property, Revolving Funds	72 X 4590
ARA	African Development Program	72-11 M 1029 (a)
	African Development Program	72-11 __ 1029
ASA	American Schools and Hospitals	72-11 M 1013 (a)
	American Schools and Hospitals	72-22 __ 1013
AS#	American Schools and Hospitals	72-11 _/_ 1013
BCX	Dollar Deposits by Barter Contractors	72 X 6122 (___)
CCX	Commodity Credit Corp. Capital Fund	72-12 X 4336
DAA	Child Survival Fund	72 M 1021.7 (a & b)
	Child Survival Fund	72-11 __ 1021.7 (b)
DA#	Child Survival Fund	72-11 _/_ 1021 (b)
DAX	Child Survival Fund	72-11X1021.7 (b)
DAA	Functional Development Assistance Programs	72-11 __ 1021
	Functional Development Assistance Programs	72-11M1021

TABLE 1a

APPROPRIATION CODES

MULTIUSE STRUCTURED CODES

Code	Appropriation Title	Approp. Symbol
DA#	Functional Development Assistance Programs	72-11 _/_1021
DAA	Agriculture, Rural Dev. & Nutrition	72-11M1021.3 (a & b)
	Agriculture, Rural Dev. & Nutrition	72-11 __ 1021.3 (b)
DA#	Agriculture, Rural Dev. & Nutrition	72-11 _/_ 1021.3 (b)
DAA	Population Planning	72-11M1021.4 (a & b)
	Population Planning	72-11 __ 1021.4 (b)
DA#	Population Planning	72-11 _/_ 1021.4 (b)
DAA	Education & Human Resources Development	72-11M1021.5 (a & b)
	Education & Human Resources Development	72-11 __ 1021.5 (b)
DA#	Education & Human Resources Development	72-11 _/_ 1021.5 (b)
DAA	Tech. Assist., Energy R & R	72-11 __ 1021.6 (b)
	Tech. Assist., Energy R & R	72-11 __ 1021.6 (b)
DA#	Tech. Assist., Energy R & R	72-11 _/_ 1021.6 (b)
DAA	Health Development	72-11 M 1021.8 (a&b)
	Health Development	72-11 __ 1021.8 (b)
DA#	Health Development	72-11 _/_ 1021.8 (b)
DNA	Agriculture, Rural Development & Nutrition	72-11 __ 1021.3 (b)
DN#	Agriculture, Rural Development & Nutrition	72-11_/_ 1021.3 (b)
DPA	Population Planning	72-11 __ 1021.4 (b)

TABLE 1a

APPROPRIATION CODES

MULTIUSE STRUCTURED CODES

Code	Appropriation Title	Approp. Symbol
DP#	Population Planning	72-11 _/_ 1021.4 (b)
DEA	Education & Human Resources Development	72-11 __ 1021.5 (b)
DE#	Education & Human Resources Development	72-11 _/_1021.5 (b)
DSA	Tech. Assist., Energy R & R	72-11 __ 1021.6 (b)
DS#	Tech. Assist., Energy R & R	72-11 _/_ 1021.6 (b)
DCA	Child Survival Fund	72-11 __ 1021.7 (b)
DC#	Child Survival Fund	72-11 _/_ 1021.7 (b)
DHA	Health Development Assistance	72-11 __ 1021.8 (b)
DH#	Health Development Assistance	72-11 _/_ 1021.8 (b)
DF#	Development Loan Fund	72-11 X 4103.1 (b)
DLX	Development Loan Fund	72-11 X 4103
DRX	Disaster Relief Assistance	72 X 1031
EF#	Economic Support Fund	72-11_/_1037
EHX	Education and Human Resources	72-11 X 1025
ES#	Economic Support Fund	72-11 _/_ 1037
ESA	Economic Support Fund	72-11 __ 1037
	Economic Support Fund	72-11 M 1037 (a)
ESX	Economic Support Fund	72-11 X 1037
FDA	International Disaster Assistance	72-11 __ 1035

TABLE 1a

APPROPRIATION CODES

MULTIUSE STRUCTURED CODES

Code	Appropriation Title	Approp. Symbol
FDX	International Disaster Assistance	72-11 _/_ 1035
FNX	Food and Nutrition	72-11 X 1023
FSA	Foreign Service Retirement & Disab. Fund	72-11 __ 1036
GDX	Gifts & Donations, AID (Disbursements)	72 X 8824
	Gifts & Donations, AID (Available Receipts)	72 X 8824AR
HGX	Housing and Guaranty Program	72 X 4340
IGA	Operating Expense, IG	72-11 __ 1007
IOA	International Organizations & Programs	72-11 __ 1005
	International Organizations & Programs	72-11 M 1005 (a)
IPA	Indochina Post War Reconstruction Assist.	72-11 M 1030 (a)
ITX	Irrevocable Letters of Credit (Triangular)	72 X 6121 (____)
MEA	Middle East Special Requirments Fund	95-11 M 1079 (a)
MIG	Operating Expense, Inspector General	72-11 __1079
MRA	Migration and Refugee Assistance	72-19 __ 1143
	Migration and Refugee Assistance	72-19 M 1143 (a)
OEA	Operating Expenses	72-11 ___ 1000
OE#	Operating Expenses	72-11 M 1000 (a)
	Operating Expenses	72-11__1000

TABLE 1a

APPROPRIATION CODES

MULTIUSE STRUCTURED CODES

Code	Appropriation Title	Approp. Symbol
OEX	Operating Expenses	72-11 X 1000
	Operating Expenses	72-11 _/_ 1000
PCA	Asst. to Portugal and Port. Colonies	72-11 M 1034
PHX	Population Planning and Health	72-11 X 1034
PKA	Peacekeeping Operations	95-11 M 1032 (a)
PPA	Prototype Desalting Plant	72-11 M 1018 (a)
PS#	Private Sector Revolving Fund	72 _/_4341
PSX	Private Sector Revolving Fund	72 X 4341
SAA	Security Supporting Assistance (state)	95-11 M 1006 (a)
SEA	AID Security Radio Program	72-19 X 0113
SDX	Tech. Asst., Energy, R & R	72-11 X 1026
SEX	AID Security Radio Program (State)	72-19 X 0535
SFX	AID Diplomatic Security (State)	72-19 X 0535
SLX	Irrevocable Letters of Credit	72 X 6117
SHX	Sahel Development Program	72-11 X 1012
TAX	U.S. Dollar Advances from Foreign Governments	72 X 8502
	U.S. Dollar Advances from Foreign Governments (Available Receipts)	72 X 8502AR

TABLE 1a

APPROPRIATION CODES

MULTIUSE STRUCTURED CODES

Code	Appropriation Title	Approp. Symbol
TDX	Trade & Development Program	11 X 1001
TDA	Trade & Development Program	72-11 __ 1001
WFX	Consolidated Working Fund	72 X 3900

NOTES: (a) The "M" in the appropriation symbol is a designator for appropriations that are over three years and older.

(b) The period and number (.1, .2, .3, .4, .5, .6, .7, .8, and .9) at the end of the appropriation symbols represent suffixes used by AID/W only for internal control and reporting purpose.

TABLE 2
FOREIGN CURRENCY FUNDS AND CURRENCY CODES

General Purpose: This table is used to identify the foreign currency fund in a manner similar to that used in identifying the dollar budget allowances.

* Responsible Office: Central Accounting & Reporting Division (FM/CARD) and Overseas Project Accounting Support Division (FM/OPAD), Office of Financial Management. *

Composition of Table, Symbols and Codes: This table consists of three parts:

PART A - U.S.-Owned Foreign Currency Funds: This part lists symbols and codes related to title of the fund. An explanation of their composition follows:

Column 1 - First Digit

A single alphanumeric digit which represents a foreign currency fund. It is to be used as the second place in of the function code of the allotment symbol.

Column 3 - Account Symbol

```
XX          FT      XXX
|           |        |
|           |        |__Identifies the particular fund;
|           |           e.g., 550-American Schools and
|           |           Hospital Aboard
|           |
|           |__FT = Foreign Currency Account
|
|__Department or Agency Account Symbol assigned by
   the Treasury, e.g., 72 - Agency for International
   Development
```

Column 4 and 5 - Alpha Code:

A two alphanumeric digit code representing an AID foreign currency fund appropriation.

PART B - Currency Codes: This part contains three-digit currency codes representing the currency of individual countries. They are arranged in numeric order by the owning country.

PART C - Foreign Currency Codes by Country: An alphabetized listing by country is provided for convenient referral.

* Revised

TABLE 2
PART A - U.S. OWNED FOREIGN CURRENCY FUNDS CODES

First Digit	Fund	Account Symbol	Non-Loan Alpha Ch.	Loan Alpha Ch.
COL. 1	COL. 2	COL. 3	COL. 4	COL. 5
1	Advances from Foreign Governments for Technical Assistance	72 FT 800	KA	--
2	P.L. 480, Section 104(g)	72 FT 520	KB	LB
3	P.L. 480, Section 104(e), Loan To Private Enterprises	72 FT 760	--	LC
5	Proceeds, Section 402, Surplus Agricultural Commodities	72 FT 720	KE	LE
6	Proceeds, P.L. 480, Principal and Interest Reflows (Special Programs)	72 FT 750	KF	LF
* 7	Proceeds, P.L. 480 Foreign Currency Allocations, Sections 104(f), Loans	72 FT 740	--	LG
* 8	Proceeds, P.L. 480, Foreign Currency Allocations, Section 104(d)	72 FT 540	LH	LH
* A	American Schools & Hospitals Abroad	72 FT 550	KK	LK
B	Proceeds, P.L. 480, Foreign Currency Allocations, Sections 104(f), 104(h), and 104(K), Grants	72 FT 745	KL	LL
* D	Acquisition of Sites, Buildings & Grounds, Abroad, P.L. 83-480	72 FT 560	KN	LN
E	Assistance under the Foreign Assistance Act of 1961, as amended, Agency for International Development (see sections 612 (Overseas Training) and 612a (John McCormack Center) in P.L. 94-330 dated June 30, 1976)	72 FT 535	KO	LO
* F	Agricultural Development Programs	72 FT 880	KP	LP
G	U.S. - India Fund for Culture, Education and Scientific Cooperation by PL 98-164	72 FT 565	KQ	LQ
H	Zablocki Memorial Outpatient Facility by PL 98-266	72 FT 555	KR	LR
I	Endowment for American University in Cairo, P.L. 99-88	72 FT 860	KS	KR
J	Loans to Intermediate Financial Institutions, P.L. 99-198	72 FT 785	--	LT
K	Grants for Establishment of Intermediate Financial Institutions P.L. 99-198	72 FT 786	KU	--
L	U.S. - India Fund for Cultural, Educational, Scientific Cooperation, PL 100-204	72 FT 566	KV	--

* Unliquidated Accounts

PART B -CURRENCY CODE

Second & Third Digit of Code	Currency	Country
102	Australes	Argentina
104	Boliviano	Bolivia
105	East Caribbean Dollar	Antigua
105	East Caribbean Dollar	Barbuda
105	East Caribbean Dollar	Dominica
105	East Caribbean Dollar	Grenada
106	Cruzado	Brazil
107	G. Dollar	Guyana
108	Peso	Chile
109	B. Dollar	Belize
110	Peso	Colombia
111	B. Dollar	Barbados
112	Colon	Costa Rica
116	Peso	Dominican Republic
118	Sucre	Ecuador
120	Colon	El Salvador
122	Quetzal	Guatemala
124	Gourde	Haiti
126	Lempira	Honduras
127	J. Dollar	Jamaica
128	Peso	Mexico
130	Cordoba	Nicaragua
132	Balboa	Panama
134	Guarani	Paraguay
136	Intis	Peru
137	Guilder	Surinam
138	Nuevos Peso	Uruguay
142	T. Dollar	Trinidad & Tobago
206	Schilling	Austria
212	B. Franc	Belgium
217	Pound	Cyprus
218	Drachma	Greece
226	C. Dollar	Canada
230	Krone	Denmark
232	Pound	United Kingdom
234	Markka	Finland
236	F. Franc	France
240	Deutschemark	Germany
246	Krona	Iceland
248	I. Pound	Ireland
250	Lira	Italy
252	L. Franc	Luxemborg
256	Guilder	Netherlands
262	Krone	Norway

PART B -CURRENCY CODE (Continued)

Second & Third Digit of Code	Currency	Country
264	Zloty	Poland
266	Escudo	Portugal
270	Peseta	Spain
274	Krona	Sweden
276	S. Franc	Switzerland
282	Lira	Turkey
302	New Taiwan Dollar	China, Republic of
303	Riel	Khmer Republic (formerly Cambodia & Kampuchea)
304	H. K. Dollar	Hong Kong
306	Rupiah	Indonesia
307	A. Dollar	Australia
308	Yen	Japan
310	Won	Korea, Republic of
311	Kip	Laos
312	F. Dollar	Fiji
313	N. Z. Dollar	New Zealand
314	Peso	Philippines
316	Baht	Thailand
318	S. Dollar	Singapore
319	Ringgit	Malaysia
320	Dong	Viet Nam (formerly South)
331	Kyat	Burma
354	Soli	Solomon Islands
404	Afghani	Afghanistan
409	Taka	Bangladesh
412	Rupee	Sri Lanka (formerly Ceylon)
416	E. Pound	Egypt
421	Pa Anga	Tonga
428	Rupee	India
432	Dinar	Iraq
438	Shekel	Israel
440	Dinar	Jordan
441	Riyal	Yemen
446	Pound	Lebanon
450	Pound	Libya
456	Dirham	Morocco
460	Rupee	Nepal
462	Rupee	Pakistan
463	Rial	Oman
476	Pound	Syria
480	Dinar	Tunisia
504	Franc	Djibouti
508	Zaire	Zaire, Republic of

PART B -CURRENCY CODE (Continued)

Second & Third Digit of Code	Currency	Country
509	Lilangeni	Swaziland
511	Pula	Botswana
512	CFA Franc	Burkina Faso (formerly Upper Volta)
512	CFA Franc	Benin (formerly Dahomey)
512	CFA Franc	Cameroon
512	CFA Franc	Central African Republic
512	CFA Franc	Chad
512	CFA Franc	Congo
512	CFA Franc	Equitorial Guinea
512	CFA Franc	Ivory Coast
512	CFA Franc	Mali
512	CFA Franc	Niger
512	CFA Franc	Senegal
512	CFA Franc	Togo
514	Escudo	Cape Verde
520	Birr	Ethiopia
524	Cedi	Ghana
527	Peso	Guinea-Bissau
528	G. Franc	Guinea
542	K. Shilling	Kenya
543	B. Franc	Burundi
544	R. Franc	Rwanda
548	L. Dollar	Liberia
554	M. Franc	Madagascar
557	Ouguiya	Mauritania
558	Meticais	Mozambique
560	Naira	Nigeria
561	Leone	Sierra Leone
562	Shilling	Somalia Republic
563	Kwacha	Zambia
564	Kwacha	Malawi
566	Rupee	Mauritius
569	Rupee	Seychelles
574	Z Dollar	Zimbabwe (formerly Rhodesia)
575	Pound	Sudan
576	Shilling	Tanzania
577	Dalasi	The Gambia
582	Shilling	Uganda
584	S.A. Rand	Lesotho
584	S.A. Rand	South Africa

PART C - FOREIGN CURRENCY CODES
(Index - By Country)

Country	Currency	Code
Afghanistan	Afghani	404
Antigua	East Caribbean Dollar	105
Argentina	Australes	102
Austrailia	A. Dollar	307
Austria	Schilling	206
Bangladesh	Taka	409
Barbados	B. Dollar	111
Barbuda	East Caribbean Dollar	105
Belgium	B. Franc	212
Belize	B. Dollar	109
Benin (formerly Dahomey)	CFA Franc	512
Bolivia	Boliviano	104
Botswana	Pula	511
Brazil	Cruzado	106
Burkina Faso (formerly Upper Volta)	CFA Franc	512
Burma	Kyat	331
Burundi	B. Franc	543
Canada	C. Dollar	226
Cameroon	CFA Franc	512
Cape Verde	Escudo	514
Central African Republic	CFA Franc	512
Chad	CFA Franc	512
Chile	Peso	108
China, Republic of	New Taiwan Dollar	302
Colombia	Peso	110
Congo	CFA Franc	512
Costa Rica	Colon	112
Cyprus	Pound	217
Denmark	Krone	230
Djibouti	Franc	504
Dominica	East Caribbean Dollar	105
Dominican Republic	Peso	116
Ecuador	Sucre	118
Egypt	E. Pound	416
El Salvador	Colon	120
Equitorial Guinea	CFA Franc	512
Ethiopia	Birr	520
Fiji	F. Dollar	312
Finland	Markka	234

PART C - FOREIGN CURRENCY CODE (continued)

Country	Currency	Code
France	F. Franc	236
Germany	Deutschemark	240
Ghana	Cedi	524
Greece	Drachma	218
Grenada	East Caribbean Dollar	105
Guatemala	Quetzal	122
Guinea	G. Franc	528
Guinea-Bissau	Peso	527
Guyana	G. Dollar	107
Haiti	Gourde	124
Honduras	Lempira	126
Hong Kong	H. K. Dollar	304
Iceland	Krona	246
India	Rupee	428
Indonesia	Rupiah	306
Iraq	Dinar	432
Ireland	I. Pound	248
Israel	Shekel	438
Italy	Lira	250
Ivory Coast	CFA Franc	512
Jamaica	J. Dollar	127
Japan	Yen	308
Jordan	Dinar	440
Kenya	K. Shilling	542
Khmer Republic (formerly Cambodia & Kampuchea)	Riel	303
Korea, Republic of	Won	310
Laos	Kip	311
Lebanon	Pound	446
Lesotho	S.A. Rand	584
Liberia	L. Dollar	507
Libya	Pound	450
Luxemborg	L. Franc	252
Madagascar	M. Franc	554
Malawi	Kwacha	564
Malaysia	Ringgit	319
Mali	CFA Franc	512
Mauritania	Ouguiya	557
Mauritius	Rupee	566
Mexico	Peso	128
Morocco	Dirham	456
Mozambique	Meticais	558
Nepal	Rupee	460
Netherlands	Guilder	256
Nicaragua	Cordoba	130

PART C - FOREIGN CURRENCY CODE (Continued)

Country	Currency	Code
Niger	CFA Franc	512
Nigeria	Naira	560
Norway	Krone	262
Oman	Rial	463
Pakistan	Rupee	462
Panama	Balboa	132
Paraguay	Guarani	134
Peru	Intis	136
Philippines	Peso	314
Poland	Zloty	264
Portugal	Escudo	266
Rwanda	R. Franc	544
Senegal	CFA Franc	512
Seychelles	Rupee	569
Sierra Leone	Leone	561
Singapore	S. Dollar	318
Solomon Islands	Soli	354
Somalia Republic	Shilling	562
South Africa	S.A. Rand	584
Spain	Peseta	270
Sri Lanka (formerly Ceylon)	Rupee	412
Sudan	Pound	575
Surinam	Guilder	137
Swaziland	Lilangeni	509
Sweden	Krona	274
Switzerland	S. Franc	276
Syria	Pound	476
Tanzania	Shilling	576
Thailand	Baht	316
The Gambia	Dalasy	577
Togo	CFA Franc	512
Tonga	Pa Anga	421
Trinidad & Tobago	T. Dollar	142
Tunisia	Dinar	480
Turkey	Lira	282
Uganda	Shilling	582
United Kingdom	Pound	232
Uruguay	Nuevos Peso	138
Viet Nam (formerly South)	Dong	320
Yemen	Riyal	441
Yugoslavia	Dinar	286
Zaire, Republic of	Zaire	508
Zambia	Kwacha	563
Zimbabwe (formerly Rhodesia)	Z Dollar	574

TABLE 3

*ALLOTMENT PURPOSE CODE

General Purpose of Code

This table is used in the U.S. dollar and foreign currency fund allotments to identify the purpose for which the allotments are used.

* Responsible Office: Office of Financial Management (FM) *

Composition of Table: This table consists of Part A - Index of Allotment Purpose Codes, and Part B - Definition of Allotment Purpose Codes.

*Discontinued effective October 1, 1981.

* Revised

TABLE 3

PART A - INDEX OF ALLOTMENT PURPOSE CODES

		"X" Indicates Interregional Activity
A.	**Nonproject (formerly Program Assistance)**	
40	Program Assistance - Project Commodities - Viet-Nam (Prior-Year Obligations Only) (Current Activity Under Project Codes)	
50	Program Assistance - Cash Grants	
53	Program Assistance - Inland Transportation - Section 203, Title II, P.L. 480	
56	Program Assistance - Ocean Freight-Voluntary Relief Agencies - Sec. 203, Title II, P.L. 480	X
57	Program Assistance - Commodity Financing - Loans	
58	Program Assistance - Cash Loans	
59	Program Assistance - Commodity Financing - Grants	
B.	**Project Assistance - Capital**	
68	Capital Assistance - Loans	
79	Capital Assistance - General - Grants	
C.	**Project Assistance - Technical**	
15	Technical Assistance - Participant Services	X
20	Technical Assistance - General Technical Services	X
22	Technical Assistance - Research and Analysis (Section 241)	X
23	Technical Assistance - Research and Analysis - Population (Sections 241 and 291)	X
34	Technical Assistance - Institutional Grants - Section 211(d)	X
43	Technical Assistance - Population Activities - Loans	
44	Technical Assistance - Population Activities - Grants	
67	Technical Assistance - Special	
69	Technical Assistance - General - Grants	
75	Technical Assistance - Self-Help Programs	
76	Technical Assistance - Private Resources Activities	X

ALLOTMENT PURPOSE CODES (Continued)

		"X" Indicates Interregional Activity
D. Special - (Not Otherwise Classified)		
21	Social Progress Trust Fund	X
27	Guaranteed Loans and Investments	X
36	Sinai Support Mission	
45	Military Assistance - (Closed Deck)	
61	Indochina Closeout - Nonproject	
63	Indochina Close-Out-Nonproject DOD	
73	Special Programs - Not Otherwise Classified	
74	Contributions to International Organizations - Special	X
81	Population Activities - Nonregional	X
84	Assistance to American Schools and Hospitals Abroad	X
86	Disaster Relief	X
87	Assistance to American Hospitals and Schools Abroad (Foreign Currency)	X

E. Operating Expense - Type Cost purpose codes used in operating expense and program activity allotments and not included in either of the preceding groups are as follows:

01 AID/W Compensation and Benefits
02 AID/W General Operating Expenses
03 Special Operating Expenses
04 Travel and Miscellaneous Expenses of AID/W Employees
07 Entertainment
08 Confidential Expenses
09 Security Investigations
10 Mission Funded Operating Expenses (includes Indochina Closeout-O E.)
12 Foreign Investment Guaranty Programs - PASA's and Contracts
13 Overseas Coordinating and Area Offices
14 Centralized Storage Costs of H.H.E.--FS
16 Computer and Financial Operating Expenses
24 Audit of Contracts
28 Training - Centrally Administered Employee Development
29 Compensation and Benefits - Reimbursable Details
36 Sinai Support Mission
37 State Department Support

ALLOTMENT PURPOSE CODES (Cont.)

"X" Indicates Interregional Activity

F. Purpose Codes used primarily in the electronic processing devices for AID general ledger reporting purposes are as follows:

89 Prior-Year Unliquidated Advances (Reversal of Purpose Code 93)
90 Undistributed Expenditures - Washington to Mission - O.E.
91 Undistributed Expenditures - Mission to Washington
92 Undistributed Expenditures - Mission to Mission
93 Advances Outstanding
94 Participant Training Credits
95 Undistributed Expenditures - All Other
96 P.Y. Undistributed Exp -Bal. Forwarded (Reversal of Codes 90, 91, 92, 95, and 97)
97 Undistributed Expenditures - Washington to Mission - Nonadministrative
98 Unallotted
99 Closed Allotments (Used for AID/W Reporting Purposes)

TABLE 3

PART B - Definition of Allotment Purpose Code

CODE	DESCRIPTION
00	Reserved - Used Primarily for AID/W Reporting Purpose.
01	AID/W-Funded Compensation and Benefits

Personnel compensation and benefits covering (a) all U.S. national direct-hire employees and all other U.S. Government agency U.S. national employees on reimbursable detail to AID funded from Operating Expense Appropriation and (b) all AID direct-hire employees and other U.S. Government employees on reimbursable detail to AID/W funded from other than the Operating Expense Funds. This includes payments for personal services rendered by employees (e.g., regular salaries, terminal leave payments, overtime and holiday pay, etc.), cash awards paid to employees incident to their employment, payments to other funds for the benefit of employees (e.g., U.S. Government's contributions to retirement, health benefits, and life insurance funds), and authorized post allowances, as applicable.

02 AID/W General Operating Expenses

General operating expenses of AID/W including costs of local transportation of supplies and equipment; local telephone service, telephone tolls, and telegraphic communications; postage; outgoing commercial telegrams; rental of equipment; rental of space and utilities; printing, reproduction, and graphics work; contractual services performed by private individuals and firms, the General Services Administration, the Government Printing Office; and office supplies and equipment.

03 Special Operating Expenses

Expenses associated with special operations of certain AID/W offices. Includes allotments made to:

(a) The Office of Public Affairs, Press Relations Division (OPA/PR) to cover printing, reproduction graphics work, and statistical services, furnished commercially or by agencies of the Government, and related supplies and materials.

(b) The Office of Personnel and Manpower to cover invitational travel in connection with recruitment of personnel being considered for employment.

CODE DESCRIPTION

(c) The Office of Financial Management to cover all costs (except travel) of authorized medical services or care obtained in the United States elsewhere than at Department of State medical facilities; payments made to claimants for losses of, or damage to, private personal property (P.O. 88-558); reimbursements to the Department of Labor, Bureau of Employees Compensation, for injury or death benefits.

04 Travel and Miscellaneous Expenses of AID/W Employees
(Excludes Personnel Compensation and Benefits)

Expenses of official travel of AID/W employees performed within the United States and overseas. This code includes special-purpose contracts administered by the allottee as specifically authorized. Covers passenger transportation, per diem, transportation of household effects and automobiles, and miscellaneous expenses for travel within the United States and overseas including travel for training and attendance at meetings; and miscellaneous expenses of the applicable allottee as authorized.

07 Entertainment

Expenses of official entertainment incurred by AID/W officials in or outside the United States, as specifically authorized.

08 Confidential Expenses

Specifically authorized expenses in the United States and overseas (other than entertainment), the disclosure of which under normal reporting and audit processes would be unwise.

09 Security Investigations

Security Investigations covering personnel on AID rolls or being considered for employment, select contractor employees, and credit reports as required. Generally, security investigation costs will be charged to the allotment established for such costs under the appropriation chargeable with the salaries and/or contractor costs involved.

10 Mission Funded Operating Expenses

General operating expenses of Mission, chargeable to operating expense funds, including allowances as authorized for U.S. citizen employees assigned to Missions who are not paid from centralized salary allotment

CODE DESCRIPTION

under Purpose Code "01," salary and other compensation and benefits of local employees; travel and transportationexpenses of Mission employees; cost of transporting U.S. Government supplies and equipment and eligible personal property of American employees, including incidental packing, crating, and storage; rents, communications, and utility charges; printing and reproduction costs; representation and official residence allowance; medical expenses; contractual services; supplies and equipment; Foreign Affairs Administration Support Costs; and other eligible and proper expenses incident to Mission operations.

11 -- (Unassigned)

12 Foreign Investment Guarantee Program PASA's and Contracts

PASA's and contracts charged as Operating Expenses to Investment Guaranty Program Account (72X4340).

13 Overseas Coordinating and Area Offices

Costs directly incident to operation of offices outside the United States include allotments made to:

(a) The Auditor General in AID/W to cover costs directly incident to Inspections and Investigations Staff assigned overseas, for travel and transportation of persons, transportation of effects, contractual services, supplies and materials, equipment, and local allowances.

(b) Overseas Area Auditors General to cover only costs of travel and transportation of persons and transportation of effects of staff (and their dependents) assigned to Area Auditors General.

(c) DAC Offices, World Food Program Office, and Vanguard Coordination Office, to cover general operating expenses including compensation and benefits for both U.S. and foreign nationals, travel and transportation of persons, transportation of things, rent, communications, utilities, official residence allowance, medical expense, supplies and materials, and equipment.

14 Centralized Storage Costs of H.H.E.--F.S.

Obligations have been centralized in AID/W for the purpose of making payments from FM to storage companies. Covers the cost for storing house hold effects (HHE) for foreign service employees on assignment.

CODE	DESCRIPTION

15 Special - Participant Services

Services performed by AID/W to and in support of AID-sponsored host-government participants during their technical and professional training in the United States (Interregional Expenses).

16 Computer and Financial Operating Expenses

Automated Data Processing (ADP) costs of equipment rental, supplies, and indefinite quantity contracts (I.Q.C.).

18 (Unassigned)

19 (Unassigned)

20 Technical Assistance - General Technical Services

Costs of special technical services through agreements with associations, universities, and other Government agencies on a centralized basis in support of AID programs; viz, expenses for arranging training, consultant services, special seminars, and responses to technical inquiries covering a variety of agricultural, health, education, industry, labor, welfare, and other activities.

21 Social Progress Trust Fund - Special

Expenses related to the implementation and operation of the Social Progress Trust Fund under the Inter-American Development Bank.

22 Technical Assistance - Research and Analysis (Sec. 241)

Expenses related to research projects; viz, experts/consultants in other Government agencies and in the external research community - does not include research for population, which is under Code 23.

23 Technical Assistance - Research and Analysis - Population (Sections 241 and 291)

Expenses related to population research projects as authorized under Sections 241 and 291 of The FAA Act.

24 Audit of Contracts

The Office of Auditor General to cover costs of all audit contracts with other U.S. Government agencies and commercial firms or individuals. Expenses related to the audit of contracts by the Office of Auditor General (AG).

CODE DESCRIPTION

25 (Unassigned)

26 (Unassigned)

27 Guaranteed Loans and Investments

Expenses incurred in discharging liabilities under guaranty contracts entered into under Part I, Chapter II, Title III, of the FA Act, including management and custodial costs incurred with respect to assets acquired under guaranties.

28 Training - Centrally Administered Employee Development

Expenses of the inservice training programs centrally administered by A/PM, primarily covering reimbursements to Department of State (for training provided by the FSI), and contracts with other training institutes. Includes tuition fees, books, and other expenses related to attendance at seminars, institutes, and training courses, except personnel compensation and related travel; supplies, materials, and equipment, purchased for use by the Manpower Development Division; and all expenses other than compensation and benefits.

29 Reimbursements to Federal Agencies and I.P.A. Institutions - O.E.

Reimbursement of salaries and benefits due other Federal agencies for their employees on detail to AID. Reimbursement of salaries, benefits, and travel and transportation costs due local and state municipalities and universities for their employees on detail to AID under the Intergovernmental Personnel Act (I.P.A.).

30 (Unassigned)

31 (Unassigned)

32 (Unassigned)

33 (Unassigned)

34 Technical Assistance - Institutional Grants (Section 211(d))

Grants, under Section 211(d) of the FA Act, to research and educational institutions in the United States for purpose of strengthening their capacity to develop and carry out programs concerned with the economic and social development of less developed countries. (Excludes grants for population activities identified separately under purpose Code "35.")

35 (Unassigned)

CODE DESCRIPTION

36 Sinai Support Mission

General operating expenses of the S.S.M. Includes personnel compensation and benefits; travel and transportation; printing; contracts; supplies and materials; and equipment.

37 Department of State Support

Payments to the Department of State pursuant to Support Agreements for supporting services furnished by State posts to AID overseas Missions and central services and/or support in the United States in support of AID's overseas and U.S. operations not charged to Mission Allotments.

38 (Unassigned)

39 (Unassigned)

40 Project Commodities (Used in Viet-Nam Only)

Project-type commodities procured with PAs and PA/PRs in lieu of normal procurement documents. This code is for liquidation or prior-year activity only.

41 --(Unassigned)

42 --(Unassigned)

43 Technical Assistance - Population Activities - Loans

Technical Assistance, as defined in the M.O. 1300 series, for loans to a cooperating country for the purpose of carrying out programs specifically relating to population growth as authorized by Section 291 of the FA Act.

44 Technical Assistance - Population Activities - Grants

Same as 43 except that this code relates to grants.

45 Military Assistance - (Closed Deck)

Closed Deck containing prior-year activity (not to be used).

46 --(Unassigned)

47 --(Unassigned)

48 --(Unassigned)

49 --(Unassigned)

CODE DESCRIPTION

50 Program Assistance - Cash Grants

Cash transfers on a grant basis for budgetary support or emergency foreign exchange requirements.

51 (Unassigned)

52 (Unassigned)

53 Program Assistance - Not Otherwise Classified

This code is established for those items which do not fit into the other program assistance codes.

54 --(Unassigned)

55 --(Unassigned)

56 Program Assistance - Ocean Freight - Voluntary Relief Agencies

Ocean transportation of relief and rehabilitation supplies shipped by approved American voluntary relief agencies.

57 Program Assistance - Commodity Financing - Loans

Loans to cooperating countries for procurement of commodities to meet general import needs under financing arrangements whereby commodity documentation is available at the time AID disburses funds.

58 Program Assistance - Cash Loans

Cash transfers on a loan basis for budgetary support or emergency foreign exchange requirements.

59 Program Assistance - Commodity Financing - Grants

Grants to cooperating countries for procurement of commodities to meet general import needs under financing arrangements whereby commodity documentation is available at the time AID disburses funds.

60 --(Unassigned)

61 Special - Indochina Closeout - Nonproject

Expenses of the Indochina closeout effort and its related residual activities.

CODE	DESCRIPTION
62	(Unassigned)
63	Special - Indochina Closeout - DOD Unliquidated balances of reimbursable residual expenses applicable to the DOD effort.
64	--(Unassigned)
65	--(Unassigned)
66	--(Unassigned)
67	Technical Assistance - Special Special projects not elsewhere classified.
68	Capital Assistance - Loans Capital assistance loans for general aid to a cooperating country, financed by specific loans. For AID/W allotment accounting only, purpose 68 is considered nonproject.
69	Technical Assistance - General - Grants Expenses of technical assistance aid to a cooperating country in the form of grants.
70	--(Unassigned)
71	--(Unassigned)
72	--(Unassigned)
73	Special Programs - Not Otherwise Classified Expenses of programs not elsewhere classified.
74	Contributions to International Organizations - Special Assessed or voluntary U.S. contributions to international organizations under authority of Section 301 of the FA Act.

CODE DESCRIPTION

75 Self-Help Program - Special

Support of small, high-impact activities which demonstrate U.S. interest in the welfare and self-help endeavors of local communities in the less developed countries.

76 Technical Assistance - Private Resources Activities

Preinvestment assistance to the private business community in the form of bibliography and abstracts relative to investment opportunities abroad. Includes such activities as the Asian Foundation, support services to the International Executive Service Corps, etc.

77 (Unassigned)

78 (Unassigned)

79 Capital Assistance - General - Grants

Capital assistance grants for general aid to a cooperating country, financed by specific grants.

80 --(Unassigned)

81 Population Activities - Nonregional

Worldwide expenses not specifically identified to a particular country or region for the purpose of carrying out programs relating to population growth as authorized by Section 291 of the FA Act.

83 --(Unassigned)

84 Assistance to American Schools and Hospitals Abroad

Expenses of AID's contribution to American schools and hospitals abroad under authority of Section 214(c) of the FA Act.

85 --(Unassigned)

86 Disaster Relief

Assistance in the form of commodities and/or services to countries in their reconstruction and recovery from natural and other disasters.

87 Assistance to American Hospitals and Schools Abroad - (Foreign Currency)

Prior-year expenses of AID's contribution to American hospitals and schools abroad under the special foreign currency appropriation.

88 (Unassigned)

CODE	DESCRIPTION
89	Prior-Year Unliquidated1/
90 through 93	Undistributed Expenditures (by type)1/
94	Participant Training Credits
95 and 96	Undistributed Expenditures - (by type)1/
97	Undistributed Expenditures - Washington to Mission Nonadministrative
98	Unallotted1/
99	Closed Allotments1/

1/ Used primarily in the electronic data processing equipment for AID/W AID/W reporting purposes.

TABLE 4

*ALLOTTEE CODES

General Purpose: The allottee code comprises the second segment of the old allotment symbol which is used to identify the AID official to whom funds are allocated.

Responsible Office: Central Accounting Reporting Division, Office of Financial Management (PFM/FM/CAR).

Composition of Code: A two-digit numerical code is assigned to each designated senior official, by title, to whom funds are allotted having the authority to obligate and expend funds as directed.

Note: These codes are used in reports that have not been converted to FACS. They are included only for informational purposes for the benefit of users of these reports. See Table 4a For New Allottee Designations Under FACS.

*Effective October 1, 1981 this table is no longer used. See Table 4a for New Allottee Designations Under FACS.

TABLE 4

ALLOTTEE CODES*

TITLE OF ALLOTTEE

Code	
00	Administrator, AID (Includes the Executive Secretary, EOP, and BIFAD Support Staff)
01	Inspector General
02	Director, Office of Private Sector Coordination
03	Director, Office of International Training
04	Office of Small and Disadvantaged Business Utilization
05	Office of General Counsel
06	Director, Office of Science Advisor
07	Director, Office of U.S. Foreign Disaster Assistance
24	Director, Office of Legistive Affairs
25	Assistant Administrator, Bureau for External Affairs
30	Assistant Administrator, Bureau for Program and Policy Coordination
34	Assistant Administrator, Bureau for Private Enterprise
36	Senior Assistant Administrator, Bureau for Science and Technology
38	Assistant Administrator, Bureau for Food for Peace and Voluntary Assistance
42	Assistant Administrator, Bureau of Management Service
43	AA, Bureau for Management Services

* See Table 4a For New Allottee Designations.

Code	Title of Allottee
50	Assistant Administrator, Bureau for Personnel and Financial Management
51	Allottee Other Than Mission Director of Coded Benefiting Country
52	Regional Director (ROCAP or Other Designated Representative)
54	Controller, Office of Financial Management
55	Director, Office of Personnel Management
56	International Aid Coordinator
57	Foreign Service - Reassignment Complements - AID/W
61	Assistant Administrator, Bureau for Africa
63	Assistant Administrator, Bureau for Asia and Near East
65	Assistant Administrator, Bureau for Latin America and the Caribbean
67	Directors of Regional Offices - AID/Washington
69	Participant Insurance Program
70	Director, Sinai-Support Mission
72	Director, International Development Cooperation Agency
73	Director, Institute for Scientific and Technological Cooperation
74	Director, IDCA/Trade and Development Program
75	African Development Foundation
79	Controller, Discontinued Allottees
80	General Services Funding Account
82	Medical Expenses Funding Account

Code	Title of Allottee
85	Participant Clearing Account
88	Expenditures not Applied to Allotments
89	Unallotted Funds
95	Participant Funding Account
99	Closed Allotments

TABLE 4a

ALLOTTEE DESIGNATIONS

GENERAL PURPOSE: Allottee Designations are used in the first position of the FACS Budget Plan Code Allotment Symbol to identify allottees. Numeric allottee codes have been reserved to identify other agencies' funds when AID is providing an accounting service for another Agency, e.g., the Sinai Support Mission. Alphabetic allottee codes are reserved for AID Allottees and will normally be limited to the Assistant Administrator level except were otherwise warranted, Operating Expenses "Type" funds.

* RESPONSIBLE OFFICE: Funds Control Division, Office of Financial Management (FM/FCD)

*

* Revised

TABLE 4a

ALLOTTEE DESIGNATIONS

Code	Allottee
1	Director IDCA
2	Director TDP
3	Director SSM
4	Unassigned
5	Unassigned
6	Unassigned
7	Unassigned
8	Unassigned
9	Unassigned
A	Administrator AID
B	AA/MS
C	Controller
D	AA/S&T
E	AA/FVA
F	AA/PPC
G	AA/Africa Bureau
H	AA/Asia Bureau
J	Director OFDA
K	AA/XA
L	AA/Latin America
M	Inspector General
N	AA/Near East
P	AA/APRE
Q	AA/Asia & Near East Bureau
R	Director Off. Int'l Training
* S	OSDBU
V	Humanitarian Task Force
Y	Mission Director or Equivalent *
Z	Allocation to other Agency *

* Allottee designator code "Y -- Mission Director or Equivalent" is only for foreign currency accounts.

* Revised

TABLE 5

OBJECT AND SUBOBJECT CLASSIFICATION CODE

General Purpose: Provides a method of recording the financial transactions of the Agency in terms of the nature of the service or articles for which obligations are incurred (reference OMB Circular A-11).

* Responsible Office: Support Budget Staff, Bureau for Program and Policy Coordination (PPC/SB). *

Composition of Code: This table consists of three parts. Part A serves as an index, Part B contains the definition of codes, and Part C gives examples of how to classify transactions using the object and subobject classification codes. Following is an explanation of the composition of the code:

```
XX          XX              XX
|           |               |
|           |               |
|           |               This digit is added to Object Class 21
|           |               to separate-1-per diem and 2-carrier-
|           |               and is for use only by AID/W mechanized system
|           |
|           Subclassification
|            e.g., 8-Living allowance, U.S. Citizen
|
Primary classification established by OMB
e.g., 11 Personal Compensation
```

* Revised

PART A - Index of Prescribed Object and Subobject Classification Codes
(See definition of these codes in Part 5B)

10 PERSONAL SERVICES AND BENEFITS

11 Benefits Personnel Compensation

110 Regular U.S. Citizens Basic Pay
111 Reimbursable Details
112 Part-Time and Temporary U.S. Citizens Basic Pay
113 Experts, Consultants, Technician etc., under Contract
114 Local Employees' Basic Pay
115 Overtime and Holiday Pay, U.S. Citizens and Local Employees
116 Differential Pay, U.S. Citzens
117 Terminal Leave
118 Cash Awards to Employees
119 Other Pay

12 Personnel Benefits

120 Retirement
121 F.I.C.A. Contributions
122 Life Insurance
123 Health Insurance
124 Worker's Compensation
125 Moving Expenses
126 Educational Allowance
127 Quarters Allowances, U.S. Citizens
128 Living Allowance, U.S. Citizens
129 Other Benefits

13 for Former Personnel

20 CONTRACTUAL SERVICES AND SUPPLIES

21 Travel and Transportation of Persons

*(The four-digit object class = AID/W only)

2101 Operational Travel Overseas-- Per Diem
2102 Operational Travel Overseas-- Carrier Transportation Costs
2121 Post Assignment and Home Leave-- Per Diem
2122 Post Assignment and Home Leave--Carrier Transportation Costs
2151 All Other--Per Diem
2152 All Other--Carrier Transport Costs
218 Foreign Investment Guaranty Fund (FIGF) Claims Investigation and Claims Administrative Travel (AID/W only)

* The fourth digit is used by AID/W to separate Per diem costs from carrier costs. USAID's use first three digits in their accounting records.

22 Transportation of Things
- 220 Transportation of Things

23 Rent, Communications, and Utilities
- 230 Communications
- 231 Office Rents and Utilities to (GSA)
- 232 Communications, Utilities and Other Rents
- 234 Rents and Utilities - Office
- 235 Rents and Utilities - Residential

24 Printing and Reproduction
- 240 Government Printing Office and Other U.S. Government Agencies
- 241 Commercial Printing
- 242 Printing - Congressional Presentation - U.S. Government
- 243 Printing - Congressional Presentation - Commercial

25 Other Services
- 250 U.S. Government Agency Expenditures from Funds Advanced by AID (AID/W only)
- 252 Representation Allowances
- 253 Storage of Household Goods
- 254 Official Residence Allowance
- 255 Technicians under Contract
- 256 Participant Expenses
- 257 State Administrative Support
- 258 Other U.S. Government Agency Reimbursement
- 259 Miscellaneous Contractual Services

26 Supplies and Materials
- 260 Supplies and Materials
- 261 Reproduction Supplies
- 262 Subscriptions

30 ACQUISITION OF CAPITAL ASSETS

31 Equipment
- 310 Office Furnishings and Equipment
- 311 Residential Furnishings and Equipment
- 312 Automobiles
- 313 ADP Equipment
- * 314 Special Equipment (Security)
- 315 Security Equipment
- 319 Other *

32 Lands and Structures
- 320 Lands and Structures

33 Investments and Loans
- 330 Loans to Foreign Governments
- 331 Returnable Advances to Revolving Funds

40 GRANTS AND FIXED CHARGES

41 Grants, Subsidies, and Contributions
- 410 Participant Maintenance and Miscellaneous Allowances
- 413 Undistributed Participant Costs
- 414 U.S. Contributions to Cooperation Services
- 417 Cash Grants to Foreign Countries
- 419 Other

42 Insurance Claims and Indemnities
- 420 Tort Claims
- 421 Claims for Private Personal Property Losses
- 422 Foreign Investment Guaranty Fund (FIGF) Claims Liquidation

43 Interest And Dividends
- 430 Interest--Lease Purchase Contracts

44 Refunds
- 440 Refunds

90 OTHER
- 910 Unvouchered - (confidential)

These codes are based upon the nature of services, articles, or other items involved as distinguished from the purpose for which the obligations are incurred. Thus, personal services or supplies are classified as such even though they may be used in the manufacture of equipment, in the erection of structures, or in carrying out a grant program which involves furnishing of services or material rather than cash.

PART B - Definitions of Object and Subobject Classification Codes

10 PERSONAL SERVICES AND BENEFITS

11 Personnel Compensation. Comprises gross compensation (before deductions for taxes and other purposes) for services of individuals, including terminal leave payments. This classification covers all payments (salaries, wages, fees) for personal services rendered to the Government by its officers or employees and compensation for special services rendered by consultants or others.

110 Regular U.S. Citizens Basic Pay. Base salaries for employees occupying regular full-time positions at rates of compensation established for regular U.S.- citizen personnel. Includes merit pay for GM-13 through GM-15 to be paid in lieu of previous step, quality, and part of other general pay increases. This merit pay becomes part of employees basic rate of pay (5 U.S.C. 5402).

111 Reimbursable Details. Amounts paid or to be paid by AID to a U.S. Government agency as a reimbursement for base salary paid by that agency from its funds to personnel of the agency detailed to AID pursuant to special letter authorizations or agreements and working under the direct supervision of AID personnel. Other personnel compensation and personnel benefits costs applicable to such details will be charged to object classification as billed. This classification is to be used primarily, but not exclusively, for Foreign Service officers of the Department of State and U.S. Public Health Service officers (not for personnel assigned to AID under a Participating Agency Service Agreement for which Code 250 or 258 is applicable).

112 Part-Time and Temporary U.S. Citizens Basic Pay. Basic pay of personnel employed on a part-time, temporary, WAE (when actually employed), or consultant basis at rates of compensation established for U.S. citizen part-time and temporary personnel.

NOTE: For consultants, only the compensation payment to consultants is included in this classification. Travel per diem paid to consultants will be coded under the 21 classification.

113 Pay to Experts, Consultants, Technicians, etc., Under Personal Contract (Personal Service Contract - "PSC"). Salary for services of experts, consultants, technicians, etc., employed directly under personal contract. This classification will not be used for salaries of technicians, etc., employed directly by another agency of the U.S. Government.

114 Local Employees' Basic Pay. All pay for personal services of local employees on a per annum, part-time, temporary, or WAE basis occupying positions at rates of compensation established in accordance with local wage and salary scales except overtime (coded as 115) and terminal leave (coded as 117).

115 Overtime and Holiday Pay, U.S. Citizens and Local Employees. Additional compensation to U.S. citizens and local employees for overtime and holiday work.

116 Differential Pay, U.S. Citizens. Additional salary payments to U.S.-citizen personnel at certain selected posts to compensate for sacrifices of normal comfort or safety incident to their assignment to the post, based on Standardized Allowance Regulations.

117 Terminal Leave. Cumulative annual leave paid on a regular pay period basis or in a lump sum to U.S. citizens and local employees at the termination of employment.

118 Cash Awards to Employees (previously under o/c 124). Includes all cash awards under the employee incentives program, such as defined in OMB Circular A-12 July 31, 1979 revision:

Cash awards for GM-13 through GM-15 (5 U.S.C. 5403):

Performance awards for members of the Senior Executive Service (5 U.S.C. 5348)

Meritorious executive and distinguish executive awards (of rank) for members of the Senior Executive Service (5 U.S.C. 4507).

119 Other Pay. Other pay for personal services not otherwise classified such as night differential pay.

12 Personnel Benefits. Comprises cash allowances paid to employees incident to their employment and payments to other funds for the benefit of employees. Perquisites provided in kind, such as uniforms or quarters, and payments to former employees resulting from their employment (such as described under Object Class 42) are excluded. Also includes reimbursements for moving and related expenses (under P.L. 89-516, of employees assigned to isolated duty stations within the continental United States.

120 Contribution to Retirement Fund. Payments into the Civil Service Retirement Fund by agencies of the Government to match amounts of retirement deductions from employee's earnings, as provided in amendments to the Civil Service Retirement Act (Title IV of P.L. 854, approved July 31, 1956).

121 F.I.C.A. Contributions. The contributions of the Federal Government for social security taxes under the Federal Insurance Compensation Act.

122 Life Insurance Contributions. The contributions of the Federal Government for life insurance under the Federal Employees' Group Life Insurance Act of 1954 (5 U.S.C. 2091).

123 Health Insurance Contributions. The Federal Government's share of costs of employees' health insurance.

124 Worker's Compensation - Accident Compensation Payments to the Office of Worker's Compensation.

125 Miscellaneous Moving Expenses Under P.L. 89-516 - Not Applicable to Foreign Service Personnel. Covers reimbursements for subsistence and temporary expenses, real estate costs, and miscellaneous moving expenses under P.L. 89-516 (applicable only within the Continental United States).

126 Educational Allowance. Allowances granted to U.S.-citizen personnel to defray the expenses of educating dependent children, based on Standardized Allowance Regulations (excludes such payments to contract personnel which are classified as 255).

127 Quarters Allowances, U.S. Citizens. Temporary lodging and permanent quarters allowances for U.S.-citizen personnel at a foreign post paid by the Mission to employees of the U.S. Government based on Standardized Allowance Regulations (excludes such payments to contract personnel which are classified as 255).

128 Living Allowance, U.S. Citizens. Cost of living allowances granted to U.S.- citizen personnel at a foreign post paid by the Mission to employees of the U.S. Government, based on Standardized Allowance Regulations (excludes such payments to contract personnel which are classified as 255). Includes gratuities to local employees, as authorized by AID/W.

129 Other. Other cash emoluments incident to personal benefits including separation or transfer allowances (excludes terminal leave payments which are classified as 117).

13 Benefits for Former Personnel. Comprises benefits due former employees or their survivors based (at least in part) on the length of their services to the Government, other than benefits paid from funds financed from employer and/or employees contributions and premiums. Includes Federal payments to funds which provide benefits to former employees; severance pay for U.S.-national employees under the Federal Employees Salary Act of 1965 - P.L. 83-301 (See Handbook 26, Position Classification, Pay, and Allowances.) and severance pay to foreign national employees pursuant to Handbook 31, Foreign National Personnel severance pay for Foreign Service personnel separated under Section 625(e) of the FA Act of 1961, as amended (see Handbook 30, Separations and Disciplinary Actions) (excludes benefits provided in kind, such as hospital and medical care; and indemnities for disability or death of former employees.)

20 CONTRACTUAL SERVICES AND SUPPLIES

21 Travel and Transportation of Persons. Transportation of Government employees and others, their per diem allowances while in an authorized travel status, and other expenses incident to travel, which are to be paid by the Government either directly or by reimbursing the traveler, including transportation expenses of participants when paid directly by AID (not paid initially by a Participating Agency or an organization furnishing training services under contract). This classification covers travel of "reimbursable details" but excludes travel of Government employees performing under Participating Agency Service Agreements. Also includes family travel expenses under P.L. 89-516 (applicable only within the Continental United States).

210 Operation Travel Overseas. All travel outside the U.S. and its territories and travel within or between countries that is required in performance of AID/W or Mission operations other than travel properly chargeable to Object Codes 212, 215, and 218. For AID/W only, a fourth digit has been added to object class codes 210, 212, and 215 in order to separate (1) per diem from (2) carrier costs. Includes travel in the U.S. or its territories connected directly with overseas travel and travel to and from the U.S. for consultation and attenddance at general conferences for Mission Directors, Controllers, Executive Officers etc.; travel resulting from Congressional requirements; rental of passenger cars, bus and taxi fares for overseas local transportation. Does not include travel entirely within the U.S. and its territories; however, it does include representational travel of a dependent when properly authorized.

212 Post Assignment and Home Leave Travel. Travel of employees and dependents resulting from assignment to post and/or return to the U.S., including inter-Mission transfers, and travel resulting from transfers to or from other agencies, resignations, retirement, or separation. Also includes travel of employees and their dependents on authorized statutory home leave to the U.S. and return travel to the same or different foreign post of duty (including consultation period while on home leave). For AID/W only, a fourth digit has been added: 1 = per diem; 2 = carrier transportation cost.

215 All Other. Includes all travel not otherwise classified, such as rest and recuperation, educational travel, visitation, emergency visitation, and emergency evacuation travel of eligible employees and their dependents when approved by proper authority; authorized travel costs of patient's travel to another location for medical treatment and any authorized travel costs of medical attendant; domestic travel entirely within the United States and its territories, not performed in direct conjunction with travel performed outside the United States and its territories; bus, and taxi fares for domestic local transportation; and family travel expenses under P.L. 89-516 applicable to AID/W personnel within the Continental United States. For AID/W only, a fourth digit has been added to distinguish: 1 = per diem, 2 = carrier transportation cost.

218 Foreign Investment Guaranty Fund (FIGF) Claims Investigation and Claims Administrative Travel (AID/W only). Travel related to the investigation and administration of claims for losses under investment guaranties provided in AID-guaranty contracts pursuant to Title III of the Foreign Assistance Act of 1961, as amended. Travel costs of claims investigation and administration are payable from guaranty contracts as authorized in Section 222(b) of the FA Act.

22 Transportation of Things. Contractual charges for the transportation of things (including animals) and for the care of such things while in process of being transported. It includes postage use in parcel post, rental of trucks and other transportation equipment, and reimbursements to Government personnel for the authorized movement of household effects or house trailers. It excludes transportation paid by a vendor, regardless of whether or not the cost thereof is itemized on the bill for the commodities sold.

220 Transportation of Things. Includes those charges for transportation of things which are paid or to be paid directly by the Government, or by reimbursing an employee for the authorized movement of his household effects, automobiles, unaccompanied baggage, etc., whether such transportation be by air, land, or water. It includes contractual charges for the care of such things while in process of being transported. It excludes transportation paid by the vendor whether or not the cost is itemized on the bill for the commodities sold. (Storage charges deleted from this section. See o/c 253.)

23 Rent, Communications, and Utilities. Comprises charges for rents (excluding rental transportation equipment), communications, and utility services. Includes charges for rental of ADP equipment. (Charges for maintenance to ADP equipment and related training and technical assistance, when significant and readily identifiable in the contract or billing, will be classified under object class 25. Contractual services involving the use of equipment in the possession of others such as computer time-sharing, will also be classified under object class 25.)

230 Communications. All communications charges including telegram, telegraph, teletype services; installation of communications facilities; lease of intercommunications systems, tie-lines, teletype facilities, and postage meter machines; postage; etc. Except local and long distance calls.

231 Standard level user charges. Charges for rental of space and related services assessed by GSA as standard level user charges (SLUC).

232 Communications, Utilities and Other Rents

234 Rents and Utilities - Office. Rental of office, warehouse, and storage space; utilities for such space, and rental of equipment, except for SLUC (see 231).

235 Rents and Utilities - Residential. The rental of residential space paid directly from AID funds in lieu of payment of quarters allowances and utilities for such space.

236 Rental of ADP Equipment. Includes charges for rental of ADP equipment. (Charges for maintenance to ADP equipment and related training and technical assistance, when significant and readily identifiable in the contract or billing, will be classified under object class 25. Contractual services involving the use of equipment in the possession of others such as computer time-sharing, will also be classified under object class 25.)

24 Printing and Reproduction. Comprises contractual printing and reproduction, and the related composition and binding operations performed by the Government Printing Office, other agencies or other units of the same agency (on a reimbursable basis), and commercial printers. It includes all common processes of duplicating obtained on a contractual or reimbursable basis. Also includes standard forms when specially printed or assembled to order, and printed envelopes and letterheads.

240 Government Printing Office and Other U.S. Government Agencies. Printing and reproduction services, including distribution services, performed by the U.S. Government Printing Office and other U.S. Government agencies.

241 Commercial Printing. Printing and reproduction services performed by commercial printers.

242 Printing - Congressional Presentation - U.S. Government (for AID/W use only).

243 Printing - Congressional Presentation - Commercial (for AID/W use only).

25 Other Services. Comprises all contractual services not otherwise classified. Supplies and materials furnished by the contractor in connection with such services are included even though they may be separately itemized on the voucher. Charges for services in connection with initial installations of equipment, when performed by the vendor, are excluded.

250 U.S. Government Agency Expenditures from Funds Advanced by AID (AID/W only). Expenditures of U.S. Government (participating) agencies from funds advanced by AID for (1) services of agency technicians and other activities performed under Participating Agency Service Agreements; (2) direct participant training expenses and allowances, including travel, maintenance, tuition, books, etc.; and (3) interregional program and administrative services (backstopping) provided under budget agreements. (For similar types of expenditures incurred by U.S. Government agencies out of their own funds subject to reimbursement by AID, see Code 258).

251 ADP Expenditures. ADP licenses, fees for abstracting land titles, premimums on insurance (other than payments to the Office of Personnel Management) and surety bonds.

ADP custom software - charges for contracts covering development of software of $25,000 or less or with a useful life of under two years. Excludes custom software classified in object class 31.

252 Representation Allowance. Entertainment and similar items of expense having as their underlying purpose the attainment of U.S. objectives or the enhancement of U.S. Government prestige, which are incurred at overseas posts by or for the head of the AID Mission and in the U.S. for officials of AID/W. Overseas representation allowances are based on Standardized Allowance Regulations (ref. Foreign Service Manual). Expenses for overseas representation and entertainment in the U.S. may be incurred only where specifically authorized in allotments of funds. Also includes the same types of expenses for Mission employees other than the head of the Mission.

253 Storage of Household Goods. Charges incurred for storage and care of household goods of employees when authorized at Agency expense. (Temporary warehousing and care of employee effects, i.e., household effects, unaccompanied baggage and other personal effects at point of origin awaiting delivery, as well as en route storage, while in the process of being transported should be charged to "Transportation of Things," Object Class 22.)

254 Official Residence Allowance. Unusual expenses, not covered by other allowances, of operating and maintaining the official residence of the chief representative at foreign posts, including household maintenance, servants' wages, and servants' maintenance, where specifically authorized in allotments (ref. Part IV, Section 350, Foreign Service Manual).

255 Technicians Under Contract. Costs for services of technicians furnished under contract. This classification is not used for the following costs of technicians employed directly under personal contract:

(1) Salaries and benefits included under Code 113.

(2) Generally travel costs of PSC's will be included in the funding of the contract. In those instances where travel costs are not included as part of the cost of the PSC contract such costs will be charged to code 210."

256 Participant's Expenses Under Contract. Participant's expenses such as maintenance allowances; purchases of books, periodicals, etc.; tuition; and the incidental training expenses paid to an organization other than a U.S. Government agency furnishing training services under contract.

257 State Administrative Support. Includes all charges for State Administrative Support.

258 Other U.S. Government Agency Reimbursements. Expenditures of U.S. Government (participating) agencies from their own funds subject to reimbursement by AID on a billing basis for (1) services of agency technicians and other activities under Participating Agency Service Agreements; (2) direct participant training expenses and allowances, including travel, maintenance, tuition, books, etc.; and (3) interregional program and administrative services (backstopping) under budget or administrative support agreements. (For similar types of expenditures incurred by U.S. Government agencies out of funds advanced by AID, see Code 250).

259 Miscellaneous Contractual Services. Contractual services not covered by any other object class such as automotive repairs, graphic arts when not a part of printing and reproduction, etc. Also includes all costs (except travel) of authorized medical services or care, including immunizations and physical examinations only when obtained elsewhere than at Department of State facilities; hospitalization; services of physicians, anesthetists, nurses; and any services of attendants during medical evacuation travel. Includes any payments for such costs to military or other U.S. Government hospitals but excludes any payments covered by PIO/T's issued to Participating Agencies. ADP licenses, fees for abstracting land titles, premiums on insurance (other than payments to the Office of Personnel Management) and surety bonds.

ADP custom software - Charges for contracts covering development of software of $25,000 or less or with a useful life of under two years. Excludes custom software classified in object class 31.

26 Supplies and Materials. Comprises all commodities whether acquired by formal contract or other form of purchase (1) which are ordinarily consumed or expended within 1 year after they are put into use, or (2) which are converted in the process of construction or manufacture, or (3) which are used to form a minor part of equipment or fixed property. (For purposes of this section, other property of little monetary value which does not meet any of these three criteria may also be classified as "Supplies and Materials" at the option of the agency.) ADP Supplies and material charges for computer and word processing cards, tapes, discs, and manuals. Includes off-the-shelf software purchases of $25,000 or less of with a useful life of under two years. Excludes off the shelf software classified under object class 31.

260 Supplies and Materials. Includes all commodities which are (1) ordinarily consumed or expended within 1 year after they are put into use, (2) which are converted in the process of construction or manufacture, or (3) which are used to form a minor part of equipment of fixed property. With the exception of books, commodities normally costing less than the established stipulated minimum amount are to be classified as supplies and materials regardless of whether or not they are consumed or expended within 1 year.

261 Reproduction Supplies. (For AID/W Use Only)

262 Subscriptions. (For AID/W Use Only)

263 ADP Supplies and Material. Charges for computer and word processing cards, tapes, discs, and manuals. Includes off-the-shelf software purchases of $25,000 or less with a useful life of under two years. Excludes off-the-shelf software classified under object class 31.

30 ACQUISITION OF CAPITAL ASSETS

31 Equipment. Comprises personal property of a more or less durable nature - that is, which may be expected to have a period of service of a year or more after put into use without material impairment of its physical condition and for books purchased for a permanent collection. It includes charges for services in connection with initial installation of equipment when performed under contract. It excludes commodities which are converted in the process of construction or manufacture, or which are used to form a minor part of equipment or fixed property.

Also, includes charges for purchase of software of over $25,000 with a useful life of over two years. Excludes supplies, materials, and off-the-shelf software classified under object class 26. Also, excludes fixed equipment that is classified under object class 32. This object class may consist of both (a) equipment that is not capitalized and (b) equipment that is capitalized. In the event a single piece of equipment for administrative-type purposes is procured to use for both office and residential purposes (i.e., a generator), the cost should be reflected against the subobject class (310 or 311) which receives the preponderant use of the equipment.

310 Office Furnishing and Equipment. Office furniture and fixtures such as desks, tables, chairs, etc., and office equipment, such as typewriters, duplicating machines, calculators, etc.

311 Residential Furnishings. Furniture and fixtures for the furnishing of residential quarters.

312 Automobiles. Acquisition cost of automobiles.

313 ADP Equipment. Acquisition cost ADP hardware. ADP equipment - Purchase of hardware, e.g., central processing units (CPUs), punch card accounting machines, data entry or keypunch/ key verify machines, and personal computers. Also includes purchases of off-the-shelf and custom software of over $25,000 with a useful life of over two years.

* 314 Special Equipment (Security). Inspector General only.

315 Security Equipment. Other than Inspector General *

319 Other. All equipment not covered by any other object of expense. Books for permanent collections.

32 Lands and Structures. Comprises land and interest in land, buildings and other structures, additions to buildings, nonstructural improvements, and fixed equipment (whether an addition or a replacement), when acquired under contract. Includes charges for services in connection with the initial installation of fixed equipment when performed under contract.

320 Lands and Structures. Includes purchase of land, acquisition or construction of buildings and structures, and additions or improvements to U.S. Government-owned real property which are obtained under contract. Examples of such additions and improvements are (a) additions to buildings; (b) improvements of land, such as landscaping, fences, sewers, wells, reservoirs, etc.; and (c) fixtures and equipment which become permanently attached to or form a part of buildings or structures, such as elevators, power plant boilers, fire-alarm system, lighting or heating systems, air-conditioning systems, etc.

33 Investment and Loans. Comprises the purchase of stocks, bonds, notes, and similar transactions (except the par value of Government securities or securities of wholly owned Government enterprises); expenditures in the nature of capital for other funds; loans to foreign governments, States, and other political subdivisions; and loans to corporations, associations, and individuals.

330 Loans. Advances to the governments of cooperating countries on a repayable basis when the transaction is known to be a loan at the time of initially classifying it for accounting or reporting purposes. The cost of services and commodities furnished to cooperating countries and not identified initially as loans, even though subsequently applied against loan agreements, will not be classified as loans; rather, they will be placed under such other object classifications as represent the initial nature of the services or commodities involved. (NOTE: For this reason, amounts reported by Missions under the loan object classification will not agree with amounts in loan reports furnished to AID/W. The loan classification, as defined herein, will be used by Missions generally in connection with foreign-currency loan transactions.

331 Returnable Advances to Revolving Funds. Capital payments to trust-revolving funds or other funds which are expected to be returned when the enterprise is liquidated, transferred, or sold. Excludes nonexpenditure transfers between funds.

40 GRANTS AND FIXED CHARGES

41 Grants, Subsidies, and Contributions. Comprises grants, subsidies, gratuities, and other aid for which cash payments are made to States, other political subdivisions, corporations, associations, and individuals; contributions to international societies, commissions, proceedings, or projects, whether in lump sum or as quotas of expenses; contributions fixed by treaty; grants to foreign countries; taxes imposed by taxing authorities where the Federal Government has consented to taxation (excluding the employer's share of Federal Insurance Contribution Act taxes); and payments in lieu of taxes. Includes readjustment and other benefits for veterans, other than indemnities for death or disability. (Note that obligations under grant programs which involve the furnishing of services, supplies, materials, and the like, as distinguished from cash, are not charged to this object class, but to the object class representing the nature of the services, articles, or other items which are purchased.)

410 Participant Maintenance and Miscellaneous Allowances. Maintenance allowance payments to participants; allowances for purchase of books, periodicals, etc.; tuition; and other incidental training expenses (excluding transportation which is classified as 21) paid directly to or on behalf of a participant by A.I.D (not paid initially by a Participating Agency or an organization furnishing training services under contract).

413 Undistributed Participant Costs. A suspense classification used for the reporting of unliquidated participant obligations pending their distribution to the appropriate object classifications as expenditures.

414 U.S. Contributions to Cooperative Services. Cash contributions of the U.S. Government made to a cooperative service pursuant to an approved agreement.

417 Cash Grants to Foreign Countries.

419 Other. Taxes and special assessments other than F.I.C.A. contributions and payments in lieu of taxes. Includes readjustment and other benefits for veterans, other than indemnities for death or disability.

42 Insurance Claims and Indemnities. Comprises payments of claims on life and marine insurance policies; annuities paid from trust funds to former employees and others; indemnities for destruction or injury to persons or property; and other losses.

420 Tort Claims. Payments made for settlement of tort claims.

421 Claims for Private Personal Property Losses. Payments made to claimants for losses of or damage to private personal property authorized by P.L. 88-558 (8-31-64).

422 Foreign Investment Guaranty Fund (FIGF) Claims Liquidation. Payments to discharge liabilities for losses of investors pursuant to the AID Investment Guaranty Program authorized in Title III of the Foreign Assistance Act of 1961, as amended. Payments are made from the AID Foreign Investment Guaranty Fund as authorized in Section 222(d) of the FA Act.

43 Interest and Dividends. Comprises compensation to creditors for the use of moneys loaned, deposited, overpaid, or otherwise made available, and the distribution of earnings to owners of a trust or other fund. Includes interest payments under lease-purchase contracts for construction of buildings.

430 Interest - Lease-Purchase Contracts.

44 Refunds. Comprises refunds of the whole or part of amounts previously received by the United States.

440 Refunds.

90 OTHER

910 Unvouchered - (Confidential)

PART C - Examples of Use of Object Classification Codes

Further examples of types of costs that come within the general definitions of the two-digit object classification given in paragraph V. are listed below as an aid in properly classifying transactions.

11 Personnel Compensation

Regular salaries and wages: Regular salaries and wages of all officers and employees, regardless of type of appointment or method of payment, including amounts deducted for retirement, insurance contributions, and other purposes, which are creditable to other appropriations and funds. Includes payments to non-Federal employees when paid directly from Federal funds.

Additional compensation: Differentials for service abroad, hardship costs, hazardous duty pay, and the like, cost of living; and additional pay for overtime, holiday, standby, and night work.

Special and miscellaneous payments for personal services: Commissions, fees, and the like, for special and miscellaneous services, including patient and inmate help, causal labor, and compensation in the nature of allowances to trainees. Also includes compensation of witnesses, payments for employment under contracts with individuals which are exclusively for their own personal services, and rewards for information or other services.

Employees on reimbursable detail: Payments made to other agencies for services of employees on reimbursable detail.

12 Personnel Benefits

Allowances to employees: Quarters allowances, uniform allowances (when paid in cash), reimbursements for notaries public expense, and incentive awards.

Payments to other funds: Employer's share of costs of employee's life insurance, health benefits, retirement, Federal Insurance Contribution Act taxes, accident compensation, and similar payments.

13 Benefits for Former Personnel: Comprises benefits due to former employees or their survivors based (at least in part) on the length of their services to the Government, other than benefits paid from funds financed from employer and/or employees contributions and premiums.

Includes Federal payments to funds which provide benefits to former employees; severance pay for U.S.-national employees under the Federal Employees Salary Act of 1965, P.L. 89-301 (See Handbook 26), and severance pay to foreign national employees pursuant to Handbook 31; severance pay for Foreign Service personnel separated under Section 625(e) of the FA Act of 1961, as amended. Excludes benefits provided in kind, such as hospital and medical care, and indemnities for disability or death of former employees.

21 Travel and Transportation of Persons

Transportation of persons: Contractual services in connection with carrying persons from place to place, whether by land, air, or water, and the furnishing of accommodations incident to actual travel. This includes commercial transportation charges, rental of passenger cars, charter of trains, buses, vessels, or airplanes, ambulance service, and expenses incident to the operation of the rented or chartered conveyances. (Rental of all passenger-carrying vehicles is to be charged to this object class, even though they may be used incidentally for transportation of things). It includes mileage allowances for this use of privately owned vehicles and related charges (such as ferry fares and tolls) which are specifically authorized. It also includes streetcar and taxi fares (including tips) whether used for local transportation or for travel away from a designated post of duty.

Subsistence for travelers: Payments to travelers of per diem allowance or reimbursement of actual expenses for subsistence.

Incidental travel expenses: Other expenses necessitated by travel, such as baggage transfer, steamer chairs, and telephone and telegraph expenses, as authorized by travel regulations. This does not cover miscellaneous expenses incurred when in travel status which are not directly related to travel.

22 Transportation of Things

Freight and express: Charges by common carrier and contract carrier, including freight and express, demurrage, switching, recrating, refrigerating, and other incidental expenses.

Drayage and other local transportation: Cartage, handling, and other charges incident to local transportation, including contractual transfers of supplies, equipment, etc.

Mail transportation: Contractual transportation of mail by water, rail, air, motor vehicles, etc.

Communication of transportation expenses: Payments to officers and employees in lieu of payment of actual expenses for transportation of household goods and effects or house trailers upon transfer of personnel from one official station to another.

23 Rent, Communications, and Utilities

Rent: Charges for possession and use of land, structures, or equipment (other than transportation equipment) owned by another, the possession of which is to be relinquished at a future time. This also includes periodic charges under purchase rental agreements for equipment prior to the time that the title to the equipment is acquired. (Payments subsequent to the acquisition of title should be classified as equipment.) It excludes payments under lease-purchase contracts for construction of buildings (included in Object Classes 32 and 43).

Communication services: Includes the transmission of messages from place to place, such as contractual charges for land telegraph service, telephone and teletype service; charges for postage (other than parcel post); contractual messenger service; and rental of post office boxes, postage meter machines, mailing machines, and teletype equipment. It also includes switchboard and service charges and telephone installation costs.

Utility services: Charges for heat, light, power, water, gas, electricity, and other utility services exclusive of transportation and communication services.

24 Printing and Reproduction

Printing and duplication: Job-work done on printing presses which utilize printers' type plates, or engravings; lithographing; multigraphing reproduction with machines employing photographically made plates, related photo-reproduction work, the use of varityping or other substitutes for typesetting for reproduction by photo-mechanical means; reproductions by the spirit process; mimeographing; and the use of stencils or direct-image plates prepared by ordinary typewriters.

Binding operations connected with the foregoing.

Photostating, blueprinting, and photography.

Microfilming.

25 Other Services

Repairs and alterations: Repairs and alterations to buildings, bridges, viaducts, vessels, equipment, and like items, when done by contract.

Storage and maintenance of vehicles: Contractual services for storage and care of vehicles.

Subsistence and support of persons: Contractual services for board, lodging, and care of persons, including hospital care (except travel items, which are included under travel).

Stenographic services: Contractual stenographic reporting and typing.

Publication of notices, advertising, and radio broadcast time.

Tuition.

Fees and other charges: Fees for abstracting land titles, premiums on insurance (other than payments to the Civil Service Commission), and surety bonds.

Operation of facilities or other service contracts.

Research and development contracts.

26 Supplies and Materials

Office supplies: Pencils, paper, calendar pads, stenographic notebooks, blank books and pads, standard forms (except when specially printed or assembled to order), unprinted envelopes, other office supplies, and property of little monetary value, such as desk trays, pen sets, and calendar stands.

Subscriptions to newspapers and periodicals.

Pamphlets and documents when purchased rather than printed by or at the request of the Agency.

Chemicals, surgical and medical supplies.

Fuel: Fuels used in cooking, heating, generating power, making artificial gas, and operating motor vehicles, aircraft, and vessels.

Clothing and clothing supplies: Articles of clothing, together with materials and sewing supplies used in the manufacture of wearing apparel.

Provisions: Food and beverages for human consumption.

Forage and stable supplies: Food used for livestock and other animals, and stable supplies.

Cleaning and toilet supplies.

Ammunition and explosives.

Materials and parts: Commodities, including building materials, entering into the construction, repair, or production of supplies, equipment, machinery, buildings, and other structures.

31 Equipment

Transportation equipment: Vehicles, including passenger-carrying automobiles, motor trucks, motorcycles, tractors, aircraft, wagons, carts, vessels, steamships, barges, and power launches.

Furniture, furnishings, and fixtures: Movable furniture, fittings, fixtures, and household equipment, including desks tables, chairs, typewriters, adding and bookkeeping machines.

ADP equipment: Purchase of hardware, e.g., central processing units (CPUs), punch card accounting machines, data entry or keypunch/key verify machines, and personal computers. Also includes purchases of off-the-shelf and custom software of over $25,000 with a useful life of over two years.

Books for permanent collections.

Livestock (other than that purchased for slaughter).

Implements and tools.

Machinery: Engines, generators, manufacturing machinery, transformers, ship equipment, pumps, and other production and construction machinery.

Instruments and apparatus: Surgical instruments, X-ray apparatus, signaling and telephone and telegraph equipment, electronic equipment, scientific instruments and appliances, measuring and weighing instruments and accessories photographic equipment, picture projection equipment and accessories, and mechanical drafting devices.

32 Lands and Structures

Lands and interest in lands, including easements and rights of way.

Buildings and other structures: The acquisition or construction of buildings and structures, and additions thereto, when acquired under contract. This includes principal payments under lease-purchase contracts for construction of buildings.

Nonstructural improvements: Improvements of land, such as landscaping, fences, sewers, wells, reservoirs, when acquired under contract.

Fixed equipment: Fixtures and equipment which become permanently attached to or a part of buildings or structures, such as elevators, plumbing, power plant boilers, fire-alarm systems, lighting or heating systems, and air-conditioning or refrigerating systems (whether an addition or a replacement), when acquired under contract. This includes charges for services in connection with initial installations of fixed equipment when performed under contract.

33 Investments and Loans

Investments in securities: The purchase of stocks, bonds, debentures, and other securities (except the par value of U.S. Government securities) in which money is invested either temporarily or permanently. This should include the amounts paid for interest accrued at the time of purchase and premiums paid on all investments, including payments over par value of Government securities and discounts under par value on sales of Government securities.

Loans: Loans to foreign governments, States, and other political subdivisions; loans to other Government agencies; and loans to corporations, associations, and individuals.

Investments in other funds: Capital payments to trust-revolving funds or other funds which are expected to be returned when the enterprise is liquidated, transferred, or sold. Excludes nonexpenditure transfers between funds.

41 Grants, Subsidies, and Contributions

42 Insurance Claims and Indemnities

Insurance claims: Insurance-loss claims, including payments on guarantees where no asset is received. Includes benefits paid from the Federal retirement and social insurance funds.

Indemnities: Compensation for loss or injury (not covered by Government insurance) such as awards arising from abrogation of contracts; indemnities for the destruction of livestock, crops, and the like, damage to or loss of property; and personal injury or death.

43 Interest and Dividends

44 Refunds

Refunds of fines, penalties, forfeitures, taxes, duties and premiums; returns of deposits in retirement and disability funds; and other refunds on account of adjustments, errors in computation, etc.

Repayment of deposits: Repayments of amounts not subject to demands or claims by the United States for which it has assumed custody. Such items represent the repayment of those moneys received in trust for private purposes and over which the Government exercises the responsibility of custodian rather than owner.

90 OTHER

91 Unvouchered - (Confidential)

Charges that may be incurred lawfully for confidential purposes, not subject to detailed vouchering or reporting, will be recorded under this object class. These vouchers are subject to accounting and audit procedures unless Presidential authority is obtained to exempt GAO oversight per Comptroller letter B-167710 dated November 5, 1981.

TABLE 6
FUNDING SOURCE CODES FOR LOANS AND GRANTS

General Purpose: This table identifies the type of loan/grant (nonproject formerly program assistance) alpha fund indicator and is related to the three-digit appropriation code found in Table 1.

* Responsible Office: Funds Control Division, Office of Financial Management (FM/FCD). *

Composition of Code: The following one-digit alpha code indentifies the funding provided by various piece of foreign assistance legislation.

Example of loan or nonproject grant agreement number consisting of three segments:

Geographic Code	Alpha Indicator	Sequential Serial Number
000	A	000 thru 599 loans
000	A	600 thru 999 grants

Indicator	Type of Loan/Grant
A	Loans authorized by the former Development Loan Fund
B	Loans authorized by predecessor agencies (except DLF) and administered by AID (i.e., ECA, MSA, and ICA loans)
C	Loans authorized under P.L. 480, Section 104(c), Common Defense
D	Loans authorized under P.L. 480, Section 104(g), Triangular Trade
E	Loans authorized under P.L. 480, Section 104(e), Cooley
F	Disaster Relief Assistance (under P.L. 93-240, Title IV)
G	Loans authorized under P.L. 480, Section 104(f), Economic Development
H	Development Loans (loans authorized under Chapter 2, Title I - Development Loan Fund, of the Foreign Assistance Act of 1961, as Amended, Liquidating Account)

* Revised

Indicator	Type of Loan/Grant
J	Middle East Special Requirement Fund, (Foreign Assistance Act of 1961, as Amended)
K	Economic Support Fund, AID Supporting Assistance (loan authorized under Chapter 4 - Economic Support Funds, of the Foreign Assistance Act of 1961 - Grants authorized under Chapter 4 - Economic Support Fund, of the Foreign Assistance Act (FAA))
L	Alliance for Progress (Liquidation Account)
M	Inter-American Social and Economic Program Loans (Administered by AID)
N	Contingency Fund (loans authorized under Chapter 5 - Contingency Fund, of the Foreign Assistance Act of 1961, as Amended)
P	International Organizations and Programs (Loans authorized under Chapter 3 - International Organizations and Programs FA Act of 1961 as Amended)
Q	Population Planning, Development Assistance, Foreign Assistance Act of 1961, as Amended.
R	Loan Authorized under P.L. 480, Section 108 (R) Private Enterprise Development
S	Private Enterprise Revolving Fund, Foreign Assistance Act of 1961, as Amended.
T	Agriculture, Rural Development, Foreign Assistance Act of 1961, as Amended.
U	Health Development, Foreign Assistance Act of 1961, as Amended.
V	Education and Human Resources Development, Foreign Assistance Act of 1961, as Amended.
W	Selected Development Problems, Foreign Assistance Act of 1961, as Amended.
Y	Trade and Development Program, Foreign Assistance of 1961.
Z	Assistance to Portugal and Portuguese Colonies, Foreign Assistance Act of 1961, as amended.

(NO TABLES 7, 8, OR 9. CONTINUE WITH TABLE 10)

TABLE 10

FISCAL YEAR CODES (SIXTH SEGMENT)
OF
*ALLOTMENT SYMBOL

General Purpose: The fiscal year designator identifies the U.S. dollar and foreign currency allotment symbols for both annual and no-year funds.

* Responsible Office: Office of Financial Management (FM) *

This two-digit code is the sixth segment of the Allotment Symbol. The first digit indicates the fiscal year in which the allotment is available for incurring an obligation. The second digit indicates whether the allotment is issued against current fiscal year funds or prior fiscal year funds. The composition of the allotment symbol is shown below to clarify the placement of this segment.

```
XXX   XX    XXX   00 ** XX    XX
 |     |     |     |     |     |
 |     |     |     |     |     |  Fiscal Year
 |     |     |     |     |     |  Code,
 |     |     |     |     |     |  THIS TABLE
 |     |     |     |     |
 |     |     |     |     |__Purpose Code, Table 3
 |     |     |     |
 |     |     |     |____Function Code
 |     |     |
 |     |     |_____ Geographic Code, Table 11
 |     |
 |     |____Allottee Code, Table 4
 |
 |__ Appropriation Code, Table 1
```

** Always "00" except for Foreign Currency accounts subsequent to FY 88, Table 2.

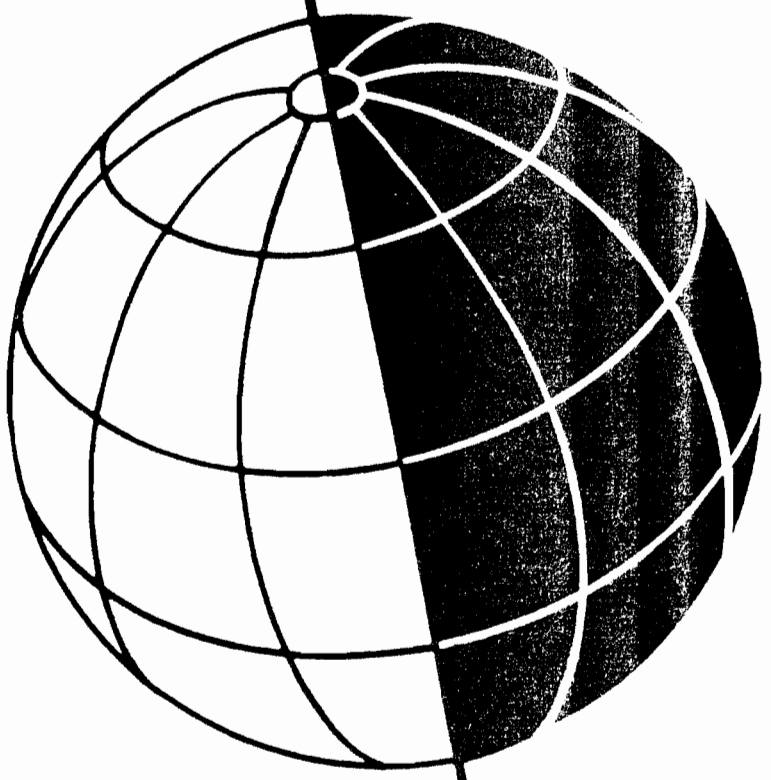
* Effective October 1, 1981 this table is no longer used. See Table 4a for New Allottee Designations Under FACS.

First Digit	Second Digit	Fiscal Year Title
*	0	Closed Allotments Account
---	1	Current Year Allotment
---	2	Current Year Reallotment
---	3	PY Unliquidated Obligation
---	5	Advances & Undistributed Expenses
---	A	Accrued Liabilities

*Use last digit of the fiscal year (FY 86 = 6; FY 87 = 7; FY 88 = 8).

HB18, App.D.
Sec. III, Att. A11

A.I.D. GEOGRAPHIC CODE BOOK



Bureau for Program and Policy Coordination
Office of Planning and Budgeting
Program Data Services Division
Agency for International Development
Washington, D.C. 20523

AID GEOGRAPHIC CODE BOOK

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE August 31, 1992	TRANS. MEMO NO. 18-Va:10

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

Appendix D - Geographic Code Book

New Country Codes have been developed for Bosnia, Croatia, Macedonia, Slovenia, and the Bulkins Region

FILING INSTRUCTIONS:

1. REMOVE PAGES: REPLACEMENT PAGES:

REMOVE PAGES	REPLACEMENT PAGES
DIII-A11-3 thru DIII-A11-4a(TM 18-Va:8)	DIII-A11-3 thru DIII-A11-4a
DIII-A11-27 thru DIII-A11-32 (TM 18-Va:8)	DIII-A11-27 thru DIII-A11-32

2. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-Va:10.

3. KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back.

4. File this TM 18-Va:10 in the front of the handbook binder; discard TM sheet 18-Va:9.

* * * * * * *

Address questions about this Handbook to FA/IRM/IPA (703) 875-1766.

For additional copies of this Transmittal contact FA/AS/ISS (703) 875-1641.

CHECKLIST FOR HANDBOOK 18
AID GEOGRAPHIC CODE BOOK

AUTHOR OFFICE: FA/FM

DATE	MATERIAL TRANSMITTED	TM NO.
10-1-90	Reissuance of the "AID Geographic Code"	18-Va:7
3-17-92	Pages DIII-A11-4, DIII-A11-21, DIII-A11-22, DIII-A11-29, DIII-A11-31, DIII-A11-33, and DIII-A11(B)-3 thru DIII-A11(B)-11	18-Va:8
5-6-92	Pages DIII-A11-19 and DIII-A11-20	18-Va:9
9-2-92	Pages DIII-A11-3, DIII-A11-4a, DIII-A11-27, DIII-A11-28, DIII-A11-30, and DIII-A11-32	18-Va:10

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE May 6, 1992	TRANS. MEMO NO. 18-Va:9

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

Geographic Code Book -- The twelve former Soviet republics, Eastern Europe countries, and Mongolia are no longer "non-free world" countries. These countries have been added to Code 935, making them eligible procurement sources when Code 935 is used.

SUPERSEDES:

Pages DIII-A11-19 and DIII-A11-20 (TMs 18-Va:7).

FILING INSTRUCTIONS:

1. Remove superseded material as indicated under SUPERSEDES.
2. File the attached in their appropriate places.
3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-Va:9.

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 18-Va:9 in the front of the handbook binder; discard TM sheet 18-Va:8.

* * * * * * *

Address questions about Handbook contents FA/AS/ISS (703) 875-1641.

Address questions about Transmittal copies and distribution to FA/AS/ISS.

CHECKLIST FOR HANDBOOK 18
AID GEOGRAPHIC CODE BOOK

AUTHOR OFFICE: FA/FM

DATE	MATERIAL TRANSMITTED	TM NO.
10-1-90	Reissuance of the "AID Geographic Code"	18-Va:7
3-17-92	Pages DIII-A11-3, DIII-A11-4, DIII-A11-4a, DIII-A11-21, DIII-A11-22, DIII-A11-27 thru DIII-A11-33, and DIII-A11(B)-3 thru DIII-A11(B)-11	18-Va:8
5-6-92	Pages DIII-A11-19 and DIII-A11-20	18-Va:9

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE March 17, 1992	TRANS. MEMO NO. 18-Va:8

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

The Geographic Code Book, Parts I, II, and III, have been updated to reflect the addition of the new Soviet Republics.

Attachment A11(B), Part III, Regional Bureau Backstop Responsibility Codes, have been updated to reflect the change in bureau names and to include the new Soviet Republics and the Eastern Block European Countries.

SUPERSEDES:

Pages DIII-A11-3 and DIII-A11-4, DIII-A11-21 and DIII-A11-22, DIII-A11-27 thru DIII-A11-33, and DIII-A11(B)-3 thru DIII-A11(B)-10. (TM 18-Va:7)

FILING INSTRUCTIONS:

1. Remove superseded material as indicated under SUPERSEDES.
2. File the attached in their appropriate places.
3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-Va:8.

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 18-Va:8 in the front of the handbook binder; discard TM sheet 18-Va:7.

* * * * * * *

Address questions about Handbook contents to FA/AS/ISS.

Address questions about Transmittal copies and distribution to FA/AS/ISS.

CHECKLIST FOR HANDBOOK 18
AID GEOGRAPHIC CODE BOOK

AUTHOR OFFICE: FA/FM

DATE	MATERIAL TRANSMITTED	TM NO.
10-1-90	Reissuance of the "AID Geographic Code"	18-Va:7
3-17-92	Pages DIII-A11-3, DIII-A11-4, DIII-A11-4a, DIII-A11-21, DIII-A11-22, DIII-A11-27 thru DIII-A11-33, and DIII-A11(B)-3 thru DIII-A11(B)-11	18-Va:8

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE December 6, 1990	TRANS. MEMO NO. 18-Va:7

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

The Geographic Code Book has been reissued in its entirety.

SUPERSEDES:

The Geographic Code Book in its entirety.

FILING INSTRUCTIONS:

1. Remove superseded material as indicated under SUPERSEDES.
2. File the attached in their appropriate places.
3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-Va:7.

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 18-Va:7 in the front of the handbook binder; discard TM sheet 18-Va:6.

* * * * * * *

Address questions about this Handbook to MS/IRM/PE.

For additional copies of this Transmittal contact MS/IRM/PE.

CHECKLIST FOR HANDBOOK 18
AID GEOGRAPHIC CODE BOOK

AUTHOR OFFICE: MS/IRM/PE

DATE	MATERIAL TRANSMITTED	TM NO.
10-1-90	Reissuance of the "AID Geographic Code"	18-Va:7

AID Geographic Code Book

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE December 6, 1990	TRANS. MEMO NO. 18-Va:7

MATERIAL TRANSMITTED:

Handbook 18 - Information Services

The Geographic Code Book has been reissued in its entirety.

SUPERSEDES:

The Geographic Code Book in its entirety.

FILING INSTRUCTIONS:

1. Remove superseded material as indicated under SUPERSEDES.
2. File the attached in their appropriate places.
3. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 18-Va:7.

* * * * * * *

KEEP THIS TRANSMITTAL MEMORANDUM, which has an up-to-date Checklist for this Handbook on the back. File this TM 18-Va:7 in the front of the handbook binder; discard TM sheet 18-Va:6.

* * * * * * *

Address questions about this Handbook to MS/IRM/PE.

For additional copies of this Transmittal contact MS/IRM/PE.

CHECKLIST FOR HANDBOOK 18
AID GEOGRAPHIC CODE BOOK

AUTHOR OFFICE: MS/IRM/PE

DATE	MATERIAL TRANSMITTED	TM NO.
10-1-90	Reissuance of the "AID Geographic Code"	18-Va:7

ATTACHMENT A 11 TO SECTION III

AID GEOGRAPHIC CODE BOOK

1. General

The AID Geographic Code Book is distributed to all Missions, U.S. Government and international agencies, and U.S. credit institutions doing business with the Agency. It is used primarily to (a) provide a simple three-digit code for use on documents identifying various countries and (b) to enable AID to use automatic data processing (ADP) for financial and program information.

2. Responsibility for Master Control of the Codes

The Resource Planning Analysis Division (PPC/PB/RPA) is responsible for master control of the code list used in AID. All inquiries, suggestions, requests for amendments, or requests to use code numbers to refer to any countries or areas in any manner other than that shown in the AID Geographic Code Book, must be cleared in advance with PPC/PB/RPA.

TABLE 11

GEOGRAPHIC CODES - A

General Purpose: Geographic codes are primarily used to provide a three-digit numerical identification for various countries and geographic entries.

Responsible Office: PPC/PB/RPA - Table 11(A)

Composition of Code: The code is structured as follows:

```
X                XX
|                |
|                |___Identifies specific geographic entries, countries,
|                    territories, and organizational or program entries
|                    within a region; e.g., 09 = Germany, Federal Republic
|
Identifies geographic region in which the country is located e.g., 1 = Europe
```

INTRODUCTION

The AID Geographic Code Book is issued for Administrative purposes in preparing AID documents which provide information for AID's automated and manual systems. The Code Book is used by Agency employees and employees of private institutions who do business with the Agency. The geographical areas, country names, and group designations contained for AID Administrative purposes only and any political associations or affiliations are not intended or implied. Codes contained in Part I are to be used for current projects and codes in Part II may be used for ongoing and closed projects already assigned Geographic Codes.

The Code Book is divided into three sections as follows:

PART I - Numerical List of Current AID Geographic Codes

Based on information obtained from the Department of State Geographer and further adapted for AID needs, this list contains the most current codes and area and country names. It is to be used to code documents related to new projects and documents dealing with current areas and countries. Superseded codes have been left in place without preference to their equivalent noun name. The latter can be found in PART II.

PART II - Numerical List of Superseded and Inactive AID Geographic Codes Areas and Countries

The previous revision of the Code Book had left superseded codes in place with a reference to a footnote or to another code. As a result, the Code Book had become extremely difficult to read, so superseded codes have been moved to a separate section. This does not mean that these codes have been discontinued. Documentation relating to closed projects and possible projects in the implementation stage may have been assigned these codes and their use may be continued. It is emphasized that superseded codes are still a part of the Agency List of AID Geographic Codes and are to be used when applicable.

PART III - Alphabetical List

This section lists all areas, countries, or territories alphabetically regardless of their code number, association, or location and provides a cross-reference to the two numerical listings.

Some area or country names may omit descriptive words such as "Territory, Union, and Republic" which may be a part of the official name but are not required for clarity.

Inquiries regarding the Code Book, including recommendation for improvements, corrections, requests for additional copies, and requests to be placed on the distribution list for changes, are to be addressed to:

Bureau for Program and Policy Coordination
PPC/PB/RPA
Agency for International Development
320 21st Street, NW.
* Washington, D. C. 20523-0047 *

* Revised

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
000	UNITED STATES (Collective code for codes 002 through 009)
001	(Superseded, See Part II)
002	THE STATES OF U.S. AND THE DISTRICT OF COLUMBIA
003	(Superseded, See Part II)
004	PUERTO RICO
005	VIRGIN ISLANDS
006	AMERICAN SAMOA
007	PACIFIC ISLANDS, TRUST TERRITORY OF THE (includes Caroline, and Marshall Islands Groups)
008	GUAM
009	(Superseded, see Part II)
010	NORTHERN MARIANA ISLANDS (formerly included under Code 007)
099	INTERREGIONAL PROJECTS (Administrative Use Only)
	EUROPE
107	(Superseded, See Part II)
109	GERMANY
110	(Superseded, See Part II)
111	ARMENIA
112	AZERBAIJAN
* 113	BELARUS *
114	GEORGIA

* REVISED

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	EUROPE - cont.
115	KAZAKHSTAN
116	KYRGYZSTAN
117	MOLDOVA
118	RUSSIA
119	TAJIKISTAN
120	TURKMENISTAN
121	UKRAINE
122	UZBEKISTAN
131	AUSTRIA
132	BELGIUM
133	GIBRALTAR
134	MALTA
136	DENMARK
137	FINLAND
138	FRANCE
141	GREENLAND
143	ICELAND
144	REPUBLIC OF IRELAND
145	ITALY
146	LUXEMBOURG

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	EUROPE - cont.
147	NETHERLANDS
148	NORWAY
150	PORTUGAL Azores Madeira Islands
152	SPAIN Canary Islands
153	SWEDEN
154	SWITZERLAND
155	ARMENIAN EARTHQUAKE
156	(Superseded, See Part II)
157	UNITED KINGDOM
158	YUGOSLAVIA
159	NORTHERN IRELAND (LONDONDERRY & BELFAST)
* 160	CROATIA
165	MACEDONIA
166	SLOVENIA
167	BULKINS REGION
168	BOSINA-HARCEGOVENIA *

* REVISED

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	EUROPE - cont.
171	ANDORRA
172	LIECHTENSTEIN
173	MONACO
174	SAN MARINO
175	VATICAN CITY
* 180	EASTERN EUROPEAN REGIONAL
181	POLAND
182	ALBANIA
183	BULGARIA
184	CZECHOSLOVAKIA
185	HUNGARY
186	ROMANIA
187	(Superseded, See Part II) *
188	BOUVET ISLAND
190	International Fund for Ireland and North Ireland
196	(Superseded, See Part II)
198	EUROPEAN REGIONAL

* Revised

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	EUROPE - cont.
	NEAR EAST
231	BAHRAIN
233	CYPRUS
240	GREECE
259	SINAI SUPPORT MISSION
263	EGYPT (formerly United Arab Republic)
265	IRAN
266	IRAQ
267	KUWAIT
268	LEBANON
271	ISRAEL
272	OMAN
273	SAUDI ARABIA
274	QATAR
* 275	(Superseded, See Part II)
276	SYRIA (formerly Syrian Arab Republic)
277	TURKEY
278	JORDAN
279	YEMEN *
281	UNITED ARAB EMIRATES

* Revised

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	NEAR EAST- cont.
290	CENTO (formerly Baghdad Pact)
291	(Superseded, see Part II)
292	GAZA STRIP
* 293	WEST BANK/GAZA *
295	(Superseded, See Part II)
296	(SUPERSEDED, SEE PART II)
297	(Superseded, See Part II)
298	(SUPERSEDED, SEE PART II)
	SOUTH ASIA
306	AFGHANISTAN
320	MALDIVES
366	BHUTAN
367	NEPAL
383	SRI LANKA (formerly Ceylon)
386	INDIA
388	BANGLADESH
391	PAKISTAN
398	ASIA AND NEAR EAST REGIONAL
399	ASEAN (the Association of Southeast Asian Nations, consisting of Indonesia, Philippines, Singapore, Malaysia, Thailand and Bruneii)

* Revised

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	EAST ASIA
431	(Superseded, See Part II)
432	KOREA, NORTH
435	CHINA, PEOPLE'S REPUBLIC OF (formerly China Mainland)
438	MONGOLIA (formerly Outer Mongolia)
439	LAOS
440	VIETNAM a/
442	CAMBODIA (also known as Kampuchea and Khmer Republic)
445	(Superseded, See Part II)
472	(Superseded, See Part II)
473	MACAU (MACAO)
478	HONG KONG
479	(Superseded, See Part II)
480	SINGAPORE
481	(Superseded, See Part II)
482	BURMA
483	MALAYSIA Malaya Sabah (formerly North Borneo) Sarawak

a/ Represents the political reunification of North Vietnam and South Vietnam. This code is not to be used when separate identifiers of North and South Vietnam are required, instead use Code 431-North Vietnam, and Code 730-Republic of South Vietnam (see Part II).

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	EAST ASIA - Continued
484	CHINA, REPUBLIC OF (Taiwan)
485	BRUNEI
487	RYUKYU ISLANDS
488	JAPAN
489	KOREA, REPUBLIC OF
490	(Superseded, See Part II)
491	WESTERN SAMOA
492	PHILIPPINES
493	THAILAND
494	(Superseded, See Part II)
495	(Superseded, See Part II)
496	(Superseded, See Part II)
497	INDONESIA (including West New Guinea and Portuguese Timor)
498	ASIA REGIONAL
499	(Superseded, See Part II)
	LATIN AMERICA
501	BAHAMAS
502	BERMUDA
503	FALKLAND ISLANDS

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	EAST ASIA - Continued
504	GUYANA (formerly British Guiana)
505	BELIZE (formerly British Honduras)
506	ARUBA
507	NETHERLANDS ANTILLES, including: Bonaire Curacao
508	SURINAME
509	TURKS AND CAICOS ISLANDS
510	ARGENTINA
511	BOLIVIA
512	BRAZIL
513	CHILE
514	COLOMBIA
515	COSTA RICA
516	CUBA
517	DOMINICAN REPUBLIC
518	ECUADOR
519	EL SALVADOR

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	LATIN AMERICA - Continued
520	GUATEMALA
521	HAITI
522	HONDURAS
523	MEXICO
524	NICARAGUA
525	PANAMA (Includes area formerly known as Canal Zone)
526	PARAGUAY
527	PERU
528	URUGUAY
529	VENEZUELA
	CARIBBEAN ISLANDS
531	THE WEST INDIES (Collective code for certain regional programs in countries or areas listed in separate Codes 532, 533, 538, 541, 542, 544, 545, 546, and 547)
532	JAMAICA
533	TRINIDAD AND TOBAGO
534	BARBADOS
535	CAYMAN ISLANDS
538	OTHER WEST INDIES - EASTERN CARIBBEAN REGIONAL (formerly British West Indies)

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	CARIBBEAN ISLANDS - cont.
541	ANTIGUA AND BARBUDA
542	DOMINICA
543	GRENADA
544	MONTSERRAT
545 *	ST. KITTS, NEVIS
546	ST. LUCIA
547	ST. VINCENT AND THE GRENADINES
548	ANGUILLA
550	ST. MARTIN ISLANDS
591	FRENCH GUIANA
592	GUADELOUPE
593	MARTINIQUE
	REGIONAL
594	CONTRAS *
595	(Superseded, See Part II)
596	REGIONAL OFFICE FOR CENTRAL AMERICA AND PANAMA (ROCAP) (collective code for certain regional program; includes Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, and Panama)
597	(Superseded, See Part II)
598	LATIN AMERICAN REGIONAL

* Revised

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	AFRICA
601	INDIAN OCEAN REGIONAL
602	COMOROS
603	DJIBOUTI, Democratic Republic of (formerly Afars and Issas, French Territory of)
604	REUNION
608	MOROCCO (including Ifni)
611	ZAMBIA (formerly Northern Rhodesia)
612	MALAWI (formerly Nyasaland)
613	ZIMBABWE (formerly Southern Rhodesia)
614	(Superseded, See Part II)
615	KENYA
616	(Superseded, See Part II)
617	UGANDA
618	EAST AFRICA (Regional Development Office) (collective code for certain regional programs; includes Kenya, Tanzania, and Uganda)
619	(Superseded, See Part II)
620	NIGERIA
621	TANZANIA (formerly Tanganyika and Zanzibar)

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	AFRICA - Cont.
622	Regional Financial Management Center - Nairobi
623	REDSO/EA - Regional Economic Development Services Office for East Africa (located in Nairobi, Kenya)
625	Sahel Regional (collective code for Cape Verde, Chad, The Gambia, Mali, Mauritania, Niger, Senegal and Burkina Faso)
626	Area Development Office - Niamey (collective code for Benin, Ivory Coast, Togo, and Burkina Faso)
627	Area Development Office - Yaounde (collective code for Caneroon, Central African Empire, Chad, Gaboon, and Equatorial Guinea)
628	Area Development Office - Dakar (collective code for Senegal, Mali, Guinea, Sierra Leone, The Gambia, Regional USAID/Africa (RUA), and Mauritania)
631	CAMEROON
632	LESOTHO
633	BOTSWANA
635	GAMBIA, THE
636	SIERRA LEONE
637	(Superseded, See Part II)
638	ALGERAI
639	ST. HELENA
641	GHANA
642	MAURITIUS
645	SWAZILAND

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	AFRICA - Cont.
649	SOMALIA
650	SUDAN
651	MISCELLANEOUS SPANISH AFRICA
	Ceuta
	Melilla
	Sahara (formerly Spanish Sahara)
	Western (Ifni returned to Morocco, See Code 608)
653	EQUATORIAL GUINEA, REPUBLIC OF (formerly Fernando Po and Rio Muni-Spanish Guinea)
654	ANGOLA (including Cabinda)
655	CAPE VERDE
656	MOZAMBIQUE
657	GUINEA-BISSAU (formerly Portuguese Guinea)
658	SAO TOME AND PRINCIPE
660	ZAIRE (formerly Congo, Republic of (Kinshasa))
662	SEYCHELLES
663	ETHIOPIA
664	TUNISIA
669	LIBERIA
670	LIBYA
673	NAMIBIA (formerly a part of the Republic of South Africa)
647	SOUTH AFRICA, REPUBLIC OF

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	AFRICA - Cont.
675	GUINEA
676	CENTRAL AFRICAN REPUBLIC
677	CHAD
678	GABON
679	CONGO, REPUBLIC OF THE (Brazzaville)
680	BENIN (formerly Dahomey)
681	IVORY COAST
682	MAURITANIA
683	NIGER
685	SENEGAL
686	BURKINA FASO (formerly known as Upper Volta)
687	MADAGASCAR (formerly known as Malagasy Republic)
688	MALI
689	ENTENTE STATES (collective code for certain regional programs for "Counseil de l'Entente"; includes Benin, Ivory Coast, Niger, and Burkina Faso)
690	SOUTHERN AFRICA REGIONAL (formerly Office of Southern Africa Regional Activities Coordination (OSARAC)
691	SELF-HELP ACTIVITIES
692	(Superseded, See Part II)

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	AFRICA - Cont.
693	TOGO
694	(Superseded, See Part II)
695	BURUNDI
696	RWANDA
697	REGIONAL U.S. AID/AFRICA
698	AFRICAN REGIONAL
	OTHER
703	CANADA
730	(Superseded, See Part II)
798	(Superseded, See Part II)
802	ST. PIERRE AND MIQUELON
* 860	THE PALAU ISLANDS
865	MICRONESIA
867	THE MARSHALL ISLANDS
870	SOLOMON ISLANDS (formerly British Solomon Islands)
871	(Superseded, See Part II)
872	TUVALU (formerly Ellice Islands)
873	KIRIBATI (formerly Gilbert Island)
874	THE REPUBLIC OF NAURU *

* Revised

PART I - NUMERICAL LIST OF AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	OTHER (Cont.)
875	NIUE
878	OCEANIA REGIONAL
879	SOUTH PACIFIC REGIONAL
880	AUSTRALIA
881	(superseded, See Part II)
882	FIJI
883	PITCAIRN (and adjacent islands)
884	FRENCH POLYNESIA
885	(Superseded, See Part II)
886	TAHITI
887	TONGA
888	NEW CALEDONIA
889	PAPUA NEW GUINEA
890	NEW ZEALAND
891	VANUATU (formerly NEW HEBRIDES)
893	COOK ISLANDS
895	(Superseded, See Part II)

PART I - NUMERICAL LIST OF CURRENT AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
890	NEW ZEALAND
891	VANUATU (formerly NEW HEBRIDES)
893	COOK ISLANDS
895	(Superseded, See Part II)
897	(Superseded, see Part II)
	"WORLDWIDE" OR MULTICOUNTRY CODES
898	(Superseded, see Part II)
899	FREE WORLD Any area or country in the Free World a/ excluding the participating country itself, when used as a possible source for purchases.
901	(Superseded, See Part II)
910	(Superseded, See Part II)
935	SPECIAL FREE WORLD Any area or country in the Free World a/ including the participating country itself.
940	(Superseded, See Part II)

a/ For purposes of this Code Book, 'Free World' excludes any area or country listed under Codes 156, 180, 181, 182, 183, 184, 185, 186, 187, 431, 432, 435, 438, 439, 440, 442, and 516.

PART I - NUMERICAL LIST OF CURRENT AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	"WORLDWIDE" OR MULTICOUNTRY CODES - Continued
941	SELECTED FREE WORLD Any independent country in the Free World*, excluding the cooperative country itself and the following:

Europe		Other	
Andorra	Malta	Angola	Mozambique
Austria	Monaco	Australia	New Zealand
* Belgium	Netherlands	Bahamas	Qatar
Denmark	Norway	Bahrain	Saudi Arabia
Finland	Portugal	Canada	Singapore
France	San Marino	China, Republic of (Taiwan)	South Africa
Ireland	Spain	Cyprus	United Arab Emirates
Italy	Sweden	Gabon	
Iceland	Switzerland	Greece	
Liechtenstein	United Kingdom	Hong Kong	
Luxembourg	Vatican City	Iraq	
	Yugoslavia	Japan	
		Kuwait	

*"Free World" excludes the following areas or countries:

Afghanistan, Albania, Bulgaria, Cambodia, Cuba, Czechoslovakia, Estonia, Hungary, Iran, Laos, Latvia, Libya, Lithuania, Mongolia, North Korea, People's Republic of China, Poland, Romania, Syria, Union of Soviet Socialist Republics, Viet Nam. *

* Revised

PART II - NUMERICAL LIST OF SUPERSEDED
AND INACTIVE AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
000	UNITED STATES (Collective Code 001-002)
001	AREAS OF U.S.-ASSOCIATED SOVEREIGNTY, INCL. TRUST TERRITORIES Canal Zone (See Code 009, Part I) Puerto Rico (See Code 004, Part I) Virgin Islands (See Code 005, Part I) American Samoa (See Code 006, Part I) Pacific Islands (See Code 007, Part I)
003	RYUKYU ISLANDS (Under U.S. Control) (See Code 487, Part I, reverted to the control of Japan)
009	CANAL ZONE (See Panama, Code 525, Part I)
	EUROPE
107	EUROPE INTRAREGIONAL through EUROPEAN PRODUCTIVITY AGENCY (EPA)
* 110	WEST BERLIN
180	EASTERN EUROPE Albania (See Code 182, Part I) Bulgaria (See Code 183, Part I) Czechoslovakia (See Code 184, Part I) Estonia (See Code 156, Part I) Hungary (See Code 185, Part I) Latvia (See Code 156, Part I) Lithuania (See Code 156, Part I) Romania (See Code 186, Part I)
187	GERMAN DEMOCRATIC REPUBLIC
196	GENERAL FREIGHT ACCOUNT
	NEAR EAST
275	YEMEN, PEOPLE'S DEMOCRATIC REPUBLIC OF *
295	NEAR EAST REGIONAL - MIDDLE EAST SPECIAL REQUIREMENT FUND (MESRF)
296	NEAR EAST REGIONAL - ECONOMIC SUPPORT FUND (ESF)

* Revised

PART II - NUMERICAL LIST OF SUPERSEDED AND INACTIVE AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
297	OTHER ARABIAN PENINSULAR STATES Aden and South Arabia (See Code 275, Part I) Bahrain (See Code 231, Part I) Kuwait (See Code 267, Part I) Muscat and Oman (See Code 272, Part I) Qatar (See Code 274, Part I) Trucial Coast (See Code 281, Part I)
298	NEAR EAST REGIONAL - DEVELOPMENT ASSISTANCE (DA)
399	EAST ASIA
431	VIETNAM (North) (See Code 440, Part I, Country consolidated)
451	ASIAN ECONOMIC DEVELOPMENT FUND
472	PORTUGUESE TIMOR (See Code 497, Part I, consolidated with Indonesia)
479	SARAWAK (See Code 483, Part I, consolidated with Malaysia)
481	OTHER EAST ASIA British North Borneo (See Code 483, Part I, consolidated with Malaysia and renamed Sabah) Brunei (See code 485, Part I)
490	REGIONAL OFFICE FOR SOUTHEAST ASIA MINISTERS OF EDUCATION SECRETARIAT (SEAMES)
494	MALAYA (See Code 483, Part I)
495	INDOCHINA, ASSOCIATED STATES
496	EAST ASIA INVENTORY
498	ASIA REGIONAL
499	FOREIGN AFFAIRS DATA PROCESSING CENTER/BANGKOK
506	LATIN AMERICA
595	ANDEAN REGIONAL

PART II - NUMERICAL LIST OF SUPERSEDED
AND INACTIVE AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
597	FRENCH DEPARTMENTS IN THE CARIBBEAN French Guiana (See Code 591, Part I) Guadeloupe (See Code 592, Part I) Martinique (see Code 593, Part I)
	AFRICA
614	FEDERATION OF RHODESIA AND NYASALAND Northern Rhodesia (See Code 591, Part I) Nyasaland (See Code 612, Part I) Southern Rhodesia (See Code 613, Part I)
616	TANGANYIKA (See Code 621, consolidated with Zanzibar to form Tanzania)
619	ZANZIBAR (including Pernba) (See Code 621, consolidated with Tanganyika to form Tanzania)
637	MISCELLANEOUS BRITISH AFRICA St. Helena (See Code 639, Part I) Seychelles (See Code 662, Part I)
659	MISCELLANEOUS PORTUGUESE AFRICA Angola (See Code 654, Part I) Cabinda (See Code 654, Part I) Cape Verde Islands (See Code 655, Part I) Mozambique (See Code 656, Part I) Portuguese Guinea (See Code 657, Part I) Sao Tome and Principe (See Code 658, Part I)
692	MISCELLANEOUS FRENCH AFRICA Comoro Islands (See Code 602, Part I) French Territory of Afars and Issas (See Code 603, Part I) Reunion (See Code 604, Part I)
694	CAMEROON (See Code 631, Part I)

PART II - NUMERICAL LIST SUPERSEDED AND INACTIVE
AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	OTHER (Cont.)
730	VIETNAM (South), REPUBLIC OF (See Code 440, Part I, Country consolidated)
798	VIETNAM REGIONAL EXPENSES AND PROJECT AND PROGRAM ASSISTANCE (Code inactive due to consolidation of Codes 430 and 431)
871	GILBERT AND ELLICE ISLANDS (SEA CODES 872 AND 873, PART I)
881	BRITISH OCEANIA British Solomon Islands (See Code 870, Part I) Fiji Islands (See Code 882, Part I) Gilbert and Ellice Islands (See Code 871, Part I) Pitcairn (and adjacent islands) (See Code 883, Part I) Tonga (Friendly) Islands (See Code 887, Part I)
885	FRENCH OCEANIA (excluding Tahiti) French Polynesia (See Code 884, Part I) New Caledonia (See Code 888, Part I)
895	WORLD FOOD PROGRAM (WFP) (FOR P.L. 480 USE)
897	MIDDLE EAST OIL AREAS (for limited use in petroleum purchases (Iran, Iraq, Israel, Kuwait, Qatar, and Saudi Arabia)
* 898	LIMITED WORLDWIDE (superseded by Code 901) Any area or country in the Free World a/ excluding the participating country itself when used as a possible source for purchases and the following developed countries: Australia, Austria, Belgium, Canada, Denmark, France, Germany, Hong Kong, Italy, Japan, Luxembourg, Monaco, Netherlands, New Zealand, Norway, South Africa, Sweden, Switzerland, and the United Kingdom. *

* Revised

CODE	AREA AND COUNTRY
	OTHER (Cont.)
* 901	LIMITED FREE WORLD Any area or country in the Free World a/ excluding the participating country itself when used as a possible source for purchases, and the following developed countries: Australia, Austria, Belgium, Canada, Denmark, France, Germany, Italy, Iran, Japan, Luxembourg, Monaco, Netherlands, New Zealand, Norway, South Africa, Spain, Sweden, Switzerland, and the United Kingdom. *

a/ Free World excludes any area or country listed under codes 156, 180, 181, 182, 183, 184, 185, 186, 187, 431, 432, 435, 438, 439, 440, and 516.

PART II - NUMERICAL LIST SUPERSEDED AND INACTIVE
AID GEOGRAPHIC CODES

CODE	AREA AND COUNTRY
	OTHER (cont.)
910	THE UNITED STATES AND SELECTED LESS DEVELOPED COUNTRIES: India, Morocco, Pakistan, Philippines, Taiwan, South Korea, Singapore, Tunisia, and Thailand.
940	THE AMERICAS The United States and areas of U.S. associated sovereignty (excluding the Ryukyu Islands) and all independent countries in the Americas south of the United States, except the cooperating country itself and Cuba.

PART III - ALPHABETICAL LIST

NOTE: Codes not followed by a Roman numeral appear in Part I

CODE	COUNTRY	CODE	COUNTRY
	A		B
297-II*	Aden (Now People's Democratic of Yemen, Code 275)	290	Baghdad Pact (Now CENTO, same
626	ADO Niamey	501	Bahamas
627	ADO Yaounde	231	Bahrain (formerly 297-II*)
628	ADO Dakar	499	Bangkok (Foreign Affairs Data Processing Center)
692-II	Afars and Issas, French Territory of	388	Bangladesh
306	Afghanistan	534	Barbados
618	Africa, East (Regional Development Office)	541*	Barbuda and Antiqua
674	Africa, Republic of South	132	Belgium
651	Africa, Spanish	505	Belize
689	African Regional	680	Benin (formerly Dahomey)
182	Albania (formerly 001-II*)	110	Berlin, West
940	Americas, The	502	Bermuda
595-II*	Andean Regional	366	Bhutan
171	Andorra	511	Bolivia
654	Angola (formerly 659-II*)	507*	Bonaire (Netherland Antilles)
548*	Anguilla	633	Botswana
* 541	Antigua and Barbuda	188	Bouvet Island*
297-II*	Arabia, South	512	Brazil
510	Argentina	483	British North Borneo renamed
155	Armenian Earthquake	881-II*	British Oceania
506*	Aruba	686	Burkina Faso
399	Asean (Assoc. of S.E. Asian Nations)	482	Burma
451-II	Asian Economic Development Fund	695	Burundi
880	Australia		C
131	Austria	654	Cabinda (Now part of Angola, same code-formerly 659-II*)
150*	Azores	509	Caicos and Turks Islands
001-II	Areas of U.S.-Associated Sovereignty Including Trust Territories	442	Cambodia (Khmer Republic, formerly Kampuchea *
498-II	Asia Regional*	631	Cameroon
398	Asia and Near East Regional	703	Canada
		009-II	Canal Zone (formerly 001-II*) see Panama)

*Other countries included in this code

PART III - ALPHABETICAL LIST
NOTE: Codes not followed by a Roman numeral appear in Part I

CODE	COUNTRY
	C-Continued
152*	Canary Islands
655	Cape Verde Islands (formerly 659-II*)
535	Cayman Islands
290	CENTO (formerly Baghdad Pact)
676	Central African Republic
597	Central American Regional
625	Central and West Africa Office of Regional Affairs (renamed Sahel Regional)*
651*	Ceuta
677	Chad
513	Chile
435	China, People's Republic of
484	China, Republic of (Taiwan)
514	Colombia
* 602	Comoro Islands (formerly 692-II*)
679	Congo (Brazzaville)
893	Cook Islands
594	Contras
515	Costa Rica
516	Cuba
507*	Curacao, Bonaire, Netherland Antilles
625	CWAORA
233	Cyprus
184	Czechoslovakia (formerly 180-II*)
	D
680	Dahomey (now Benin, same)
136	Denmark
002*	District of Columbia
603	Djibouti (formerly French Territory of Afars and Issas
542	Dominica
517	Dominican Republic

CODE	COUNTRY
	E
618	East Africa (Regional Development Office)
496-II	East Asia Inventory
180-II	Eastern Europe Regional
518	Ecuador *
263	Egypt
871*	Ellice Islands (formerly 881-II8)
519	El Salvador
689*	Entente States
653	Equatorial Guinea, Republic of
180-II*	Estonia
663	Ethiopia
107-II	Europe Intraregional, through* Productivity Agency (EPA)
198	European Regional
	F
503	Falkland Islands
614-II	Federation of Rhodesia and Nyasaland
653*	Fernando Po (now part of Republic of Equatorial Guinea, same code
882	Fiji Islands (formerly 881-II*)
137	Finland
499-II	Foreign Affairs Data Processing* Center/Bangkok
138	France
899	Free World
597-II	French Departments in the Caribbean
591	French Guiana (formerly 597-II*)
885-II*	French Oceania (excluding Tahiti)

*Other countries included in this code

PART III - ALPHABETICAL LIST

NOTE: Codes not followed by a Roman numeral appear in Part I

CODE	COUNTRY
	F-Continued
884	French Polynesia (formerly 885-II*)
603	French Territory of Afars and Issas now Djibouti, same code; formerly 692-II)
	G
678	Gabon
635	Gambia, The
292	Gaza Strip
* 196-II	General Freight Account (Europe)
187-II	German Democratic Republic (formerly 180-II)
109	Germany
641	Ghana
133	Gibraltar
543	Grenada
547	Grenadines and St. Vincent, The*
592	Guadeloupe (formerly 597-II*)
008	Guam
520	Guatemala
675	Guinea
871*-II	Gilbert and Ellice Islands (formerly* 881-II*)
157	Great Britain (or United Kingdom
240	Greece
141	Greenland
657	Guinea-Bissau (formerly Portuguese Guinea)
675	Guinea
504	Guyana
	H
521	Haiti
522	Honduras
478	Hong Kong
185	Hungary (formerly 180-II*)
	I
143	Iceland
608*	Ifni (now a part of Morocco,
386	India
495-II	Indochina, Associated States
497	Indonesia
190	International Fund for Ireland and North Ireland
099	Interregional Projects
265	Iran
266	Iraq
144	Ireland
271	Israel
145	Italy
681	Ivory Coast
	J
532	Jamaica
488	Japan
278	Jordan
291-II	Jordan - East Bank*
293	Jordan - West Bank*
	K
442	Kampuchea (renamed Cambodia)
615	Kiribati (formerly Gilbert Island)*

*Other countries included in this code

* Revised

PART III - ALPHABETICAL LIST

NOTE: Codes not followed by a Roman numeral appear in Part I

CODE	COUNTRY
	K-Continued
432	Korea, North
489	Korea, Republic of
267	Kuwait (formerly 297-II*)
	L
439	Laos
598	Latin American Regional
180-II	Latvia
268	Lebanon
632	Lesotho
669	Liberia
670	Libya
172	Liechtenstein
901-II	Limited Free World*
898-II	Limited Worldwide
180-II*	Lithuania
146	Luxembourg
	M
470	Macau (Macao)*
687	Madagascar
150*	Madeira Islands (part of Portugal, same code)
612	Malawi (formerly Nyasaland)
483	Malaya (formerly 494-II)
483*	Malaysia
320	Maldives*
688	Mali
134	Malta
593	Martinique (formerly 597-II*)
682	Mauritania
642	Mauritius
651*	Melilla
523	Mexico
865	Fed. States of Micronesia
897-II*	Middle East Oil Areas
802*	Miquelon

CODE	COUNTRY
	M-Continued
173	Monaco
438	Mongolia
544	Montserrat
608*	Morocco
656	Mozambique (formerly 659-II*)
272	Muscat (now Oman, same code - formerly 297-II*)
637-II*	Miscellaneous British Africa
692-II*	Miscellaneous French Africa
659-II*	Miscellaneous Portuguese Africa
651*	Miscellaneous Spanish Africa
	N
298-II	Near East Regional Dev. Assist.
295-II	Near East Regional - Middle East* Special Requirements Fund
673	Namibia (formerly a part of the Republic of South Africa, Code 674)
367	Nepal
147	Netherlands
507	Netherlands Antilles
545*	Nevis
888	New Caledonia (formerly 885-II*)
891	New Hebrides (see VANUATU)
890	New Zealand
524	Nicaragua
683	Niger
620	Nigeria
875	Niue
159	Northern Ireland (Londenderry and Belfast)
432	North Korea
010	Northern Mariana Islands (formerly under 007)*
611	Northern Rhodes (now Zambia, same code - formerly 614-II*)

* Revised

PART III - ALPHABETICAL LIST

NOTE: Codes not followed by a Roman numeral appear in Part I

CODE	COUNTRY
	N-Continued
431-II	North Vietnam
148	Norway
612	Nyasaland (now Malawi, same code - formerly 614-II*)
	O
878	Oceania Regional
272	Oman (formerly 297-II*)
690	OSARAC (now Southern Africa Regional)* ✱
297-II	Other Arabian Peninsular States
481-II	Other East Asia
538	Other West Indies-Eastern Caribbean Regional
	P
007	Pacific Islands (formerly 001-II)
391	Pakistan
525	Panama* (includes area formerly known as Canal Zone)
889	Papua New Guinea
526	Paraguay
619-II	Pemba (now part of Tanzania,
527	Peru
492	Philippines
883	Pitcairn (and adjacent Islands)
181	Poland
150	Portugal
659-II*	Portuguese Guinea (now Guinea-Bissau, Code 657)
497	Portuguese Timor (now Indonesia same code - formerly 472-II)
658*	Principe (formerly 652*)
004	Puerto Rico (formerly 001-II*)
435	People's Republic of China (Mainland)

CODE	COUNTRY
	Q
224	Qatar (formerly 297-II*)
	R
623	REDSO/EA Nairobi
624	REDSO/WA Abidjan
490-II	Regional Office for South East Asia*
622	Regional Financial Management Center Nairobi
144	Republic of Ireland
604	Reunion (formerly 692-II)
614-II*	Rhodesia, Southern ✱
598*	ROCAP
186	Romania (formerly 180-II*)
697	Regional U.S. AID/AFRICA
487	Ryukyu Islands (formerly 003-II)
	S
483*	Sabah (formerly North Borneo)
651*	Sahara, Western
625*	Sahel Regional (formerly Central and West Africa Office of Regional Affairs)
001-II*	Samoa, American
491	Samoa, Western
174	San Marino
658*	Sao Tome (formerly 652)
483*	Sarawak (formerly 479-II*)
273	Saudi Arabia
691	Self-Help Activities
941	Selected Free World
685	Senegal
662	Seychelles (formerly 637-II*)
636	Sierra Leone
259	Sinai Support Mission
480	Singapore
870	Solomon Islands (formerly British Solomon Islands)

*Other countries included in this code.

✱ Revised

PART III - ALPHABETICAL LIST

NOTE: Codes not followed by a Roman numeral appear in Part I

CODE	COUNTRY
	S-Continued
649	Somalia*
674	South Africa, Republic of
279-II*	South Arabia (now People's Democratic Republic of Yeman, Code 275)
879	South Pacific Regional
690*	Southern Africa Regional (formerly OSARAC)
613	Southern Rhodesia (renamed Zimbabwe)*
156	Soviet Union (USSR)
152	Spain
651	Spanish Africa
935	Special Free World
* 383	Sri Lanka (formerly Ceylon)
545*	St. Kitts and Nevis
639	St. Helen (formerly
546	St. Lucia
550	St. Martin Island
802*	St. Pierre
547	St. Vincent
650	Sudan
508	Suriname
645	Swaziland
153	Sweden
154	Switzerland
276	Syria (formerly Syrian Arab Republic)
	T
886	Tahiti
616-II*	Tanganyika (now part of Tanzania, Code 621)
621	Tanzania
493	Thailand
940	The Americas
867	The Marshall Islands
860	The Palau Islands
	T-Continued
874	The Republic of Nauru
002	The States of the U.S. and the District of Columbia
472-II	Timor, Portuguese
887	Tongo (Friendly) Islands (formerly 881-II*) *
553*	Trinidad and Tobago
297-II	Trucial Coast (now United Arab Emirates, Code 281
664	Tunisia
509	Turks and Caicos Islands
277	Turkey
872	Tuvala (formerly Ellice Islands, Code 871*& 881*-II)
	U
617	Uganda
156	Union of Soviet Socialist Republics (USSR)
281	United Arab Emirates
157	United Kingdom
000*	United States
910*-II	United States and Selected Less Developed Countries
686	Burkina Faso (formerly known as Upper Volta)
528	Uruguay
156	U.S.S.R. (Soviet Union)
	V
891	Vanuatu (formerly New Hebrides)
175	Vatican City
529	Venezuela
440	Vietnam

*Other countries included in this code

* Revised

PART III - ALPHABETICAL LIST

NOTE: Codes not followed by a Roman numeral appear in Part I

CODE	COUNTRY
	V-Continued
431-II	Vietnam (North) (now Vietnam, Code 440) *
730-II	Vietnam (South), Republic of (now Vietnam, Code 440)
798-II	Vietnam Regional
005	Virgin Islands (formerly 001-II*)
	W
293	West Bank/Gaza
110	West Berlin
531*	West Indies, The
497*	West New Guinea (Part of Indonesia, same code
651*	Western Sahara
491	Western Samoa
895-II	World Food Program*
898-II	Worldwide, Limited
	Y
279	Yemen
275-II	Yemen, Peoples Democratic Republic *
158	Yugoslavia
	Z
660	Zaire
611	Zambia
619-II	Zanzibar (now part of Tanzania, Code 621)
613	Zimbabwe (formerly Southern Rhodesia*)

*Other countries included in this code

* Revised

TABLE 11

GEOGRAPHIC (ADMINISTRATIVE) CODES - B AND
STANDARD GEOGRAPHIC CODES - FIPS 10-2-C

General Purpose: Geographic codes are primarily used to provide a three-digit numerical identification for various countries and geographic entries.

Geographic (administrative) codes are used to identify projects which are administered by AID/W Bureaus and Offices.

Responsible Office: PPC/PB/RPA - Table 11(B) and DM/IM - Table 11(c)

Composition of Code: The code is structured as follows:

X — Identifies the geographic region in which the country is located; e.g., 1 = Europe

XX — Identifies specific geographic entries, countries, territories, and organizational or program entries within a region; e.g., 09 = Germany, Federal Republic

ATTACHMENT A 11(B)

GEOGRAPHIC (ADMINISTRATIVE) CODES

The first three digits of the project number are the geographic code numbers contained in Parts I and II, Appendix D of Handbook 18, and identify the country participating in a project. There are, however, additional three-digit codes which have been developed to identify projects which are administered by central AID/W Bureaus or Offices.

PART I. AID/W BUREAU/OFFICE CODES (Geographic Code Equivalent)

The Country Program Data Bank requires validation checks of the first three digits of the project number against the codes contained in the geographic codes listing in Appendix D, Handbook 18, except for projects from S&T, FVA, PR, PPC, and MS Bureau. In order to permit complete validation of all project numbers the geographic code listing has been expanded to include the central AID/W Bureau/Office numbers and titles as defined below: *

Active codes available for current budgetary processes;

907 - Office of U.S. Foreign Disaster Assistance (not normally projectized)
923 - Bureau for External Relations
930 - Bureau for Program and Policy Coordination
940 - Bureau for Private Enterprise
936 - Bureau for Science and Technology (formerly DSB)
938 - Bureau for Food for Peace and Voluntary Assistance (formerly PDC)

Regional activity is aggregated under codes;
398 - ENE Regional (formerly ANE Regional)
499 - APRE Regional
598 - Bureau for Latin America and the Caribbean
698 - Bureau for Africa

Inactive and obsolete codes used only for historical purposes;
298 - Bureau for Asia/Near East
498 - Bureau for Asia/Near East
904 - Office for Food for Peace (merged into FVA) *
906 - Women in Development (merged into PPC)
907 - Office of Labor Affairs (merged into PDC)
908 - Office of Public Safety (disbanded)
912 - Office of Housing (merged into APRE)
913 - Office of American Schools and Hospitals Abroad (merged into FVA)

* Revised

Inactive and obsolete codes used only for historical purposes;

923 - Office of International Narcotics Control (transferred to State)
925 - Office of Engineering (merged into interregional bureaus)
926 - Office of International Training (merged into S&T)
931 - Bureau of Technical Assistance (merged into DSB)
932 - Bureau for Population and Humanitarian Assistance (merged into DSB)
933 - Bureau for Intra-governmental and International Affairs (merged into PPC)

PART II. REGIONAL AGGREGATION CODES

The Economic and Social Data Bank requires, for statistical aggregation purposes, additional codes for regional groupings. The use of the following codes is restricted to this purpose.

100 - Europe Aggregation

* 200 - Near East

300 - South Asia

400 - East Asia *

500 - Latin America Aggregation

600 - Africa Aggregation

* Revised

PART III - REGIONAL BUREAU BACKSTOP RESPONSIBILITY

FM Accounting and Reporting Systems requires the grouping of geographic codes to show Regional Bureaus' responsibility for those countries backstopped by a cognizant Bureau. The listing in Part III has been added for use primarily for financial reporting requirements.

APPLICABLE COUNTRY CODE		REGIONAL BACKSTOP BUREAU	AREA AND COUNTRY
* 099	INTERREGIONAL ACCTS	POL - Directorate for Policy	
		RD - Bureau for Research and Development	
		PRE - Bureau for Private Enterprise	
		FHA - Bureau for Food and Humanitarian Assistance	
		FA - Bureau for Finance and Administration	
		EUR - Bureau for Europe	
109			Germany
111			Armenia
112			Azerbaijan
113			Byelarus
114			Georgia
115			Kazakhstan
116			Kyrgyzstan
117			Moldova
118			Russia
119			Tajikistan
120			Turkmenistan *

* REVISED

APPLICABLE COUNTRY CODE	REGIONAL BACKSTOP BUREAU	AREA AND COUNTRY
	EUR - BUREAU FOR EUROPE	
* 121		Ukraine
122		Uzbekistan
131		Austria
134		Malta
138		France
143		Iceland
145		Italy
150		Portugal
152		Spain
158		Yugoslavia
182		Albania
183		Bulgaria
184		Czechoslovakia
185		Hungary
186		Romania *
198		Europe Region Funded Activity

APPLICABLE COUNTRY CODE	REGIONAL BACKSTOP BUREAU	AREA AND COUNTRY
*	NE - BUREAU FOR NEAR EAST	*
231		Bahrain
233		Cyprus
240		Greece
259		Sinai Support Mission
263		Arab Republic of Egypt
265		Iran
266		Iraq
268		Lebanon
271		Israel
272		Oman
273		Saudi Arabia
276		Syrian Arab Republic
277		Turkey
278		Jordan
279		Yemen
290		CENTO
298		NEAR EAST REGION
608		Morocco
638		Algeria
664		Tunisia

APPLICABLE COUNTRY CODE	REGIONAL BACKSTOP BUREAU	AREA AND COUNTRY
*	ASIA - BUREAU FOR ASIA	*
306		Afghanistan
367		Nepal
383		Sri Lanka
386		India
388		Bangladesh
391		Pakistan
398		ENE Regional (formerly ANE Regional)
439		Laos
442		Cambodia (Kampuchea)
478		Hong Kong
482		Burma
483		Malaysia
484		China
488		Japan
489		Korea
490		REGIONAL OFFICE, SOUTHEAST ASIA
491		Western Samoa
492		Phillippines
493		Thailand
497		Indonesia
498		ASIA REGIONAL FUNDED ACTIVITY
499		PRE Regional
730		Vietnam

* REVISED

APPLICABLE COUNTRY CODE	REGIONAL BACKSTOP BUREAU	AREA AND COUNTRY
*	ASIA - BUREAU FOR ASIA	*
798		VIETNAM REGIONAL FUNDED ACTIVITY
865		Micronesia
879		South Pacific Regional
875		Niue
882		Fiji
	LAC - BUREAU FOR LATIN AMERICA AND THE CARIBBEAN	
504		Guyana
505		Belize (formerly British Honduras)
508		Surinam
510		Argentina
511		Bolivia
512		Brazil
513		Chile
514		Colombia
515		Costa Rica
517		Dominican Republic
518		Ecuador
519		El Salvador
520		Guatemala
521		Haiti

* REVISED

APPLICABLE COUNTRY CODE	REGIONAL BACKSTOP BUREAU	AREA AND COUNTRY
	LAC - BUREAU FOR LATIN AMERICA AND THE CARIBBEAN	
522		Honduras
523		Mexico
524		Nicaragua
525		Panama
526		Paraguay
527		Peru
528		Uruguay
529		Venezuela
532		Jamaica
533		Trinidad & Tobago
534		Barbados
538		CARIBBEAN REGIONAL
595		Andean Regional
596		OFFICE CA & PANAMA (ROCAP)
598		LATIN AMERICA REGIONAL
	AFR - BUREAU FOR AFRICA	
602		Comoros
603		Djibouti
611		Zambia
612		Malawi

APPLICABLE COUNTRY CODE	REGIONAL BACKSTOP BUREAU	AREA AND COUNTRY
	AFR - BUREAU FOR AFRICA	
613		Zimbabwe
615		Kenya
617		Uganda
618		EAST AFRICA REGIONAL
620		Nigeria
621		Tanzania
622		Regional Financial Management Center - Nairobi
623		REDSO/EA
624		REDSO/WA
625		Sahel Regional
626		Niger
627		Yaounde
628		Senegal
631		Cameroon
632		Lesotho
633		Botswana
635		Gambia
636		Sierra Leone
641		Ghana

APPLICABLE COUNTRY CODE	REGIONAL BACKSTOP BUREAU	AREA AND COUNTRY
	AFR - BUREAU FOR AFRICA	
642		Mauritius
645		Swaziland
649		Somalia
650		Sudan
653		Equatorial Guinea
655		Cape Verde Islands
656		Mozambique
657		Guinea - Bissau
658		Sao Tome and Principe
660		Zaire
662		Seychelles
669		Liberia
674		Republic of South Africa
675		Guinea
676		Central Africa Republic
677		Chad
678		Gabon
679		Congo
680		Benin

APPLICABLE COUNTRY CODE	REGIONAL BACKSTOP BUREAU	AREA AND COUNTRY
	AFR - BUREAU FOR AFRICA	
681		Ivory Coast
682		Mauritania
683		Niger
685		Senegal
686		Burkina Faso (formerly known as Upper Volta)
687		Madagascar (formerly Malagasy)
688		Mali
689		Entente States
690		SOUTHERN AFRICA REGIONAL
693		Togo
695		Burundi
696		Rwanda
698		AFRICA REGIONAL

ATTACHMENT 11C

FEDERAL INFORMATION PROCESSING STANDARD 10-3

1984 February 9

Specifications for

COUNTRIES, DEPENDENCIES, AREAS OF SPECIAL SOVEREIGNTY, AND THEIR PRINCIPAL ADMINISTRATIVE DIVISIONS

1. **Name of Standard:** Countries, Dependencies, Areas of Special Sovereignty, and Their Principal Administrative Divisions.

2. **Category of Standard:** Federal Program Data Standard, Representations and Codes.

A Federal Program Standard is intended for use in a particular program or mission more than one executive branch department or independent agency is involved with its use. This standard is intended for use in activities associated with the mission of the U.S. Department of State and in national defense programs.

3. **Explanation:** This Standard provides a list of the basic geopolitical entities in the world, together with the principal administrative divisions that comprise each entity. Each basic geopolitical entity that was listed in FIPS PUB 10-2, Countries Dependencies, and Areas of Special Sovereignty, as updated, is included; it is represented by the same two-character, alphabetic "country code." Each principal dividion is identified by a four-character code consisting of the two-character "country code" followed by a two-character "administrative division code."

This Standard may be applied either in the two-character format of FIPS PUB 10-2, in which only a basic entity is identified, or in the four-character format that identifies a basic entity and one of its principal administrative divisions. If a complete baisc entity is to represented in the four-character format, blanks are to be used for its "administrative division code." FIPS PUB 10-2 is superseded in its entirety by this Standard.

Basic geopolitical entities assigned "country code" include the following categories: (a) independent states; (b) dependent areas; (c) areas of quasi-independence, non-contiguous territories, possessions without populations, areas with special sovereignty associations, areas without sovereignty; (d) political regimes not recognized by the United States; and (e) outlying areas of the United States. The list of basic entities provides complete coverage of the land areas of the world without overlap or duplication.

For purposes of this Standard, a principal administrative division is defined as administrative area directly subordinate to the pertinent governing authority. Even though all principal administrative divisions eithin an entity may not be of equal rank, this Standard considers them as "principal."

Geographic names in current use that are listed Standard are approved by the United States Board on Geographic Names (BGN), the authority established under Public Law 80-242 to "provide for uniformity in geographic nomenclature and orthography throughout the Federal Government." Names in this Standard approved by the Board include current names of countries, dependencies, areas of special sovereignty, and their principal administrative divisions.

4. Specifications:

4.1 Table 1: The basic geopolitical entities and divisions are named in table 1, where they are sequenced in alphabetic order by basic entity. A typical entry in table 1 consists of the two-character, alphabetic "country code" of each basic entity; the entity name; a scope note, where necessary, to explain some geographical or political circumstance associated with the entity; the designatory term or terms for administrative divisions of that entity; and the names and complete four-character codes of all the principal divisions that comprise the entity.

The two-character "Administrative divisions code" is alphanumeric, although it is purely numeric in most cases. An alphanumeric is used to distinguish administrative divisions such as in New Zealand where there are more than 99.

The designatory terms of divisions in non-English speaking areas are presented in English translation followed by their indigenous forms, where these are available. For example, in Norway, "fylke" is the indigenous term for an administrative division nd "province" is the English equivalent for that term. In the entry for Norway in table 1, this information is presented after the scope note as "province/fylke."

Some countries have more than one class of administrative divison, for example, province and territory. Asterisks are used in table 1 to distinguish members of different calsses. In the case of privince and territory, these designatory terms would be presented after the scope note as:

province
*territory.

Then, each name of a territory listed in table 1 would be followed by an asterisk, while each name of a province would be left unmarked. To distinguish third and fourth designatory terms, two and three asterisks are used, respectively.

For entities in which a script other than the Roman is locally used, BGN-approved Romanization systems indicate Roman script equivalents for names. For reference purposes, conventional names approved by BGN and names formerly approved by BGN are indicated where available. This information is presented to the right of the name of the divison. Conventional names are enclosed in parentheses and formerly approved names are enclosed in square brackets.

4.2 Table 2: This table presents a list of the basic geopolitical entities, both current and former, sequenced alphabetically by country code. Current basic entities are presented in capital letters; former entity names are presented in upper- and lower-case letters. Table 2 lists the former entities to provide a summary of all changes that have taken place since the initial publication of FIPS PUB 10. Each change listed in table 2 is identified by a "Change Number" keyed to the version of FIPS PUB 10 to which the change was applied. Consequently, the list of Change Numbers provides a chronology of changes made to any particular entity.

The leftmost digit of the Change Number identifies the relevant of FIPS PUB 10 in which the change appeared. This may be revision 10-1 or 10-2, identified by "1," "2," respectively. The next two digits identify whether a particular change was reported in the published version, identified by "00," or in a separately issued and numbered Change Notice, identified by the Change Notice number: "01" to "15" in the case of FIPS PUB 10-1, and "01" to "15" in the case of FIPS PUB 10-2. Not all Change Notice numbers appear because some changes concerned scope notes and did not require alterations of names or codes. There were no Change Notices to the original FIPS PUB 10 and, of course, no Change Notices have been issued yet to this version, FIPS PUB 10-3. Changes to the original FIPS PUB 10 were all reported in the first revision, RIPS PUB 10-1.

The two rightmost digits provide a sequence number for individual changes that appeared in the same published version or in the same Change Notice. For example, Change Number 2-07-04 indicates that the identified change was the fourth item to appear in Change Notice No. 7 to FIPS PUB 10-2. Change Number 1-00-01 identifies the first change item that was reported in FIPS PUB 10-1 when it was published.

4.3 Appendix A: This Appendix provides a finding list for places, features, and former names associated with entities not listed in the Standard.

4.4 Appendix B: This Appendix provides a cross-reference listing between the two-character codes as published in FIPS PUB 104 and the FIPS 10-3 codes. Differences in definitions of entities are noted in the Remarks columns of Appendix B.

5. Qualifications: None.

TABLE 1. Geopolitical Entities and Their Codes

Code	*Name*	*(Conventional Names) [Former Names]*
AF	AFGHANISTAN	
province/velāyat		
AF01	Badakhshān	
AF02	Bādghīs	
AF03	Baghlān	
AF04	Balkh	
AF05	Bāmiān	
AF06	Farāh	
AF07	Fāryāb	
AF08	Ghazni	
AF09	Ghowr	[Ghor]
AF10	Helmand	
AF11	Herāt	
AF12	Jowzjān	
AF13	Kābol	
AF14	Kāpisā	
AF15	Konarhā	
AF16	Laghmān	
AF17	Lowgar	[Logar]
AF18	Nangarhār	
AF19	Nīmrūz	[Chakhansur]
AF20	Orūzgān	[Uruzgan]
AF21	Paktiā	
AF29	Paktikā	
AF22	Parvān	[Parwan]
AF23	Qandahār	[Kandahar]
AF24	Kondūz	[Kunduz]
AF25	Samangan	
AF26	Takhār	
AF27	Vardak	[Warkak]
AF28	Zābol	[Zabul]
AL	ALBANIA	
district/rreth *municipality/qytet		
AL01	Berat	
AL02	Dibrë	
AL03	Durrës	
AL04	Elbasan	
AL05	Fier	
AL06	Gjirokastër	
AL07	Gramsh	
AL08	Kolonjë	
AL09	Korçë	
AL10	Krujë	
AL11	Kukës	
AL12	Lezhë	
AL13	Librazhd	
AL14	Lushnjë	
AL15	Mat	
AL16	Mirditë	
AL17	Përmet	
AL18	Pogradec	
AL19	Pukë	
AL20	Sarandë	
AL21	Shkodër	
AL22	Skrapar	
AL23	Tepelenë	
AL24	Tiranë	
AL25	Tiranë *	
AL26	Tropojë	
AL27	Vlorë	
AG	ALGERIA	
province/wilaya		
AG16	Adrar	
AG01	Alger	
AG02	Annaba	
AG03	Batna	
AG17	Béchar	
AG18	Bejaïa	
AG19	Biskra	
AG20	Blida	
AG21	Bouira	
AG04	Constantine	
AG22	Djelfa	
AG05	El Asnam	
AG23	Guelma	
AG24	Jijel	
AG25	Laghouat	
AG26	Mascara	
AG06	Médéa	
AG07	Mostaganem	
AG27	M'sila	
AG09	Oran	
AG28	Ouargla	
AG29	Oum el Bouaghi	
AG10	Saïda	
AG12	Setif	
AG30	Sidi Bel Abbès	
AG31	Skikda	
AG32	Tamanrasset	
AG33	Tébessa	
AG13	Tiaret	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
AG14	Tizi Ouzou	
AG15	Tlemcen	
AQ	AMERICAN SAMOA	
Scope Note:	U.S. territory.	
AN	ANDORRA	
parish/parròquia		
AN01	Andorra	
AN02	Canillo	
AN03	Encamp	
AN04	La Massana	
AN05	Ordino	
AN06	Sant Julià de Lòria	
AO	ANGOLA	
province/província		
AO19	Bengo	
AO01	Benguela	
AO02	Bié	
AO03	Cabinda	
AO04	Cuando Cubango	
AO05	Cuanza Norte	
AO06	Cuanza Sul	
AO07	Cunene	
AO08	Huambo	
AO09	Huíla	
AO10	Luanda	
AO17	Lunda Norte	
AO18	Lunda Sul	
AO12	Malanje	
AO14	Moxico	
AO13	Namibe	
AO15	Uíge	
AO16	Zaire	
AV	ANGUILLA	
Scope Note:	British dependent territory.	
AY	ANTARCTICA	
Scope Note:	The U.S. does not recognize sovereignty, but territorial limits may be noted by listing the unclaimed sector and the claimed sectors: Argentina, Australia, Chile, France, New Zealand, Norway, and the United Kingdom.	
AC	ANTIGUA AND BARBUDA	
Scope Note:	Became independent November 1, 1981. Includes Redonda.	
parish		
AC01	Barbuda	
AC03	Saint George	
AC04	Saint John	
AC05	Saint Mary	
AC06	Saint Paul	
AC07	Saint Peter	
AC08	Saint Philip	
AR	ARGENTINA	
**district/distrito		
*national territory/territorio nacional		
province/provincia		
AR01	Buenos Aires	
AR02	Catamarca	
AR03	Chaco	
AR04	Chubut	
AR05	Córdoba	
AR06	Corrientes	
AR07	Distrito Federal **	
AR08	Entre Ríos	
AR09	Formosa	
AR10	Jujuy	
AR11	La Pampa	
AR12	La Rioja	
AR13	Mendoza	
AR14	Misiones	
AR15	Neuquén	
AR16	Río Negro	
AR17	Salta	
AR18	San Juan	
AR19	San Luis	
AR20	Santa Cruz	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
AR21	Santa Fe	
AR22	Santiago del Estero	
AR23	Tierra del Fuego, Antártida e Islas del Atlántico Sur *	
* AR24	Tucumán	
AA	ARUBA	
Scope Note: Part of Netherlands Realm		
* AT	ASHMORE AND CARTIER ISLANDS	
Scope Note: Australian territory.		
AS	AUSTRALIA	
Scope Note: Includes Macquarie Island.		
state		
*territory		
AS01	Australian Capital Territory *	
AS02	New South Wales	
AS03	Northern Territory *	
AS04	Queensland	
AS05	South Australia	
AS06	Tasmania	
AS07	Victoria	
AS08	Western Australia	
AU	AUSTRIA	
state/bundesland		
AU01	Burgenland	
AU02	Kärnten	
AU03	Niederösterreich	
AU04	Oberösterreich	
AU05	Salzburg	
AU06	Steiermark	
AU07	Tirol	
AU08	Vorarlberg	
AU09	Wien	
BF	BAHAMAS, THE	
Scope Note: Excludes TURKS AND CAICOS ISLANDS (TK) which is a British colony.		
district		
BF01	Abaco	
BF02	Acklins Island	
BF03	Andros Island	
BF04	Berry Islands	
BF05	Biminis	
BF06	Cat Island	
BF07	Cay Lobos	
BF08	Crooked Island	
BF09	Eleuthera	
BF10	Exuma	
BF11	Grand Bahama	
BF12	Harbour Island	
BF13	Inagua	
BF14	Long Cay	
BF15	Long Island	
BF16	Mayaguana	
BF17	New Providence	
BF18	Ragged Island	
BF19	Rum Cay	
BF20	San Salvador	
BF21	Spanish Wells	
BA	BAHRAIN	
municipality		
BA01	Al Ḩadd	
BA02	Al Manāmah	
BA08	Al Minţaqah al Gharbīyah	
BA11	Al Minţaqah al Wusţā	
BA10	Al Minţaqah ash Shamālīyah	
BA03	Al Muḩarraq	
BA07	Ar Rifā' wa al Minţaqah al Janūbīyah	
BA05	Jidd Ḩafş	
BA09	Minţaqat Juzur Ḩawār	
BA06	Sitrah	
FQ	BAKER ISLAND	
Scope Note: U.S. territory.		
BG	BANGLADESH	
district		
BG04	Bāndarban	
BG01	Barisāl	
BG02	Bogra	
BG03	Chittagong	
BG05	Comilla	
BG06	Dacca	
BG07	Dinājpur	

*Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
BG08	Faridpur	
BG09	Jessore	
BG10	Khulna	
BG11	Kushtia	
BG12	Mymensingh	
BG13	Noākhāli	
BG14	Pābna	
BG15	Patuākhāli	
BG16	Rājshāhi	
BG20	Rāmgarh	
BG21	Rāngāmāti	
BG17	Rangpur	
BG18	Sylhet	
BG19	Tangail	
BB	BARBADOS	
parish		
BB01	Christ Church	
BB02	Saint Andrew	
BB03	Saint George	
BB04	Saint James	
BB05	Saint John	
BB06	Saint Joseph	
BB07	Saint Lucy	
BB08	Saint Michael	
BB09	Saint Peter	
BB10	Saint Philip	
BB11	Saint Thomas	
BS	BASSAS DA INDIA	
Scope Note:	French possession.	
BE	BELGIUM	
province/province (French), provincie (Flemish)		
BE01	Antwerpen	
BE02	Brabant	
BE03	Hainaut	
BE04	Liège	
BE05	Limburg	
BE06	Luxembourg	
BE07	Namur	
BE08	Oost-Vlaanderen	
BE09	West-Vlaanderen	
BH	BELIZE	
Scope Note:	Became independent on September 21, 1981.	
district		
BH01	Belize	
BH02	Cayo	
BH03	Corozal	
BH04	Orange Walk	
BH05	Stann Creek	
BH06	Toledo	
BN	BENIN	
province		
BN01	Atakora	
BN02	Atlantique	
BN03	Borgou	
BN04	Mono	
BN05	Ouémé	
BN06	Zou	
BD	BERMUDA	
Scope Note:	British colony.	
*municipality		
parish		
BD01	Devonshire	
BD02	Hamilton	
BD03	Hamilton *	
BD04	Paget	
BD05	Pembroke	
BD06	Saint George *	
BD07	Saint George's	
BD08	Sandys	
BD09	Smiths	
BD10	Southampton	
BD11	Warwick	

(18-Va:7)

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
BT	BHUTAN	
*division		
region		
BT01	Central Bhutan	
BT02	Eastern Bhutan	
BT03	Southern Bhutan *	
BT04	Western Bhutan	
BL	BOLIVIA	
department/departamento		
BL01	Chuquisaca	
BL02	Cochabamba	
BL03	El Beni	
BL04	La Paz	
BL05	Oruro	
BL06	Pando	
BL07	Potosí	
BL08	Santa Cruz	
BL09	Tarija	
BC	BOTSWANA	
district		
BC01	Central	
BC02	Chobe	
BC03	Ghanzi	
BC04	Kgalagadi	
BC05	Kgatleng	
BC06	Kweneng	
BC07	Ngamiland	
BC08	North-East	
BC09	South-East	
BC10	Southern	
BV	BOUVET ISLAND	
Scope Note: Norwegian territory.		
BR	BRAZIL	
Scope Note: Includes Atol das Rocas, Arquipélago de Fernando de Noronha, Ilha da Trindade, Ilhas Martin Vaz, and Penedos de São Pedro e São Paulo.		
**federal district/distrito federal		
state/estado		
*territory/território		
BR01	Acre	
BR02	Alagoas	
BR03	Amapá *	
BR04	Amazonas	
BR05	Bahia	
BR06	Ceará	
BR07	Distrito Federal **	
BR08	Espírito Santo	
BR09	Fernando de Noronha *	
BR10	Goiás	
BR13	Maranhão	
BR14	Mato Grosso	
BR11	Mato Grosso do Sul	
BR15	Minas Gerais	
BR16	Pará	
BR17	Paraíba	
BR18	Paraná	
BR19	Pernambuco	
BR20	Piauí	
BR21	Rio de Janeiro	
BR22	Rio Grande do Norte	
BR23	Rio Grande do Sul	
BR24	Rondônia	
BR25	Roraima *	
BR26	Santa Catarina	
BR27	São Paulo	
BR28	Sergipe	
IO	BRITISH INDIAN OCEAN TERRITORY	
Scope Note: British dependency comprised of the Chagos Archipelago.		
VI	BRITISH VIRGIN ISLANDS	
Scope Note: British colony. Includes Anegada, Jost Van Dyke, Tortola, Virgin Gorda.		

TABLE 1. Geopolitical Entities and Their Codes--Continued

Code	Name	(Conventional Names) [Former Names]
BX	BRUNEI	
Scope Note:	Became independent January 1, 1984.	
district		
BX01	Belait	
BX02	Brunei and Muara	
BX03	Temburong	
BX04	Tutong	
BU	BULGARIA	
* province/oblast		
BU29	Burgas	
BU30	Grad Sofiya	
BU31	Khaskovo	
BU32	Lovech	
BU33	Mikhaylovgrad	
BU34	Plovdiv	
BU35	Razgrad	
BU36	Sofiya	
BU37	Varna	
UV	BURKINA	
UV25	Kenedougou	
UV26	Komoe	
UV27	Kossi	
UV28	Kouritenga	
UV29	Mouhoun	
UV30	Namentenga	
UV31	Naouri	
UV32	Oubritenga	
UV33	Oudalan	
UV34	Passore	
province/province		
UV15	Bam	
UV16	Bazega	
UV17	Bougouriba	
UV18	Boulgou	
UV19	Boulkiemde	
UV20	Ganzourgou	
UV21	Gnagna	
UV22	Gourma	
UV23	Houet	
UV24	Kadiogo	
UV35	Poni	
UV36	Sanguie	
UV37	Sanmatenga	
UV38	Seno	
UV39	Sissili	
UV40	Soum	
UV41	Sourou	
UV42	Tapoa	
UV43	Yatenga	
UV44	Zoundweogo	
BM	BURMA	
*division		
state		
BM01	Rakhine State	
BM02	Chin State	
BM03	Irrawaddy *	
BM04	Kachin State	
BM05	Karan State	
BM06	Kayah State	
BM07	Magwe *	
BM08	Mandalay *	
BM13	Mon State	
BM09	Pegu *	
BM14	Rangoon *	
BM10	Sagaing *	
BM11	Shan State	
BM12	Tenasserim *	
BY	BURUNDI	
province		
BY09	Bubanza	
BY02	Bujumbura	
BY10	Bururi	
BY13	Gitega	
BY05	Muramvya	
BY18	Muyinga	
BY19	Ngozi	
BY21	Ruyigi	
BY11	Cankuzo	
BY12	Cibitoke	
BY14	Karuzi	
BY15	Kayanza	
BY16	Kirundo	
BY17	Makamba	
BY20	Rutana	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
CB	CAMBODIA	
	Scope Note: Formerly known as Khmer Republic and Kampuchea	
	*autonomous municipality province/khêt	
CB01	Bătdâmbâng	
CB02	Kâmpóng Cham	
CB03	Kâmpóng Chhnăng	
CB04	Kâmpóng Spoe	
CB05	Kâmpóng Thum	
CB06	Kâmpôt	
CB07	Kândal	
CB08	Kaôh Kŏng	
CB09	Krâchéh	
CB10	Môndól Kiri	
CB11	Phnum Pénh *	
CB12	Poŭthĭsăt	
CB13	Preăh Vihéar	
CB14	Prey Vêng	
CB15	Rôtânôkiri	
CB16	Siĕmréab-Ŏtdâr Méanchey	
CB17	Stŏeng Trêng	
CB18	Svay Riĕng	
CB19	Takêv	
CM	CAMEROON	
	province	
CM04	Est	(East)
* CM05	Littoral	
CM13	Nord	(North)
CM07	Nord-Ouest	(North-west)
CM08	Ouest	(West)
CM09	Sud-Ouest	(South-west)
CM10	Adamaoua	
CM11	Centre	
CM12	Extreme-Nord	(Far North)
CM14	Sud	(South) *

Code	Name	(Conventional Names) [Former Names]
CA	CANADA	
	province *territory	
CA01	Alberta	
CA02	British Columbia	
CA03	Manitoba	
CA04	New Brunswick	
CA05	Newfoundland	
CA06	Northwest Territories	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
CA07	Nova Scotia	
CA08	Ontario	
CA09	Prince Edward Island	
CA10	Quebec	
CA11	Saskatchewan	
CA12	Yukon Territory *	
CV	CAPE VERDE	
district/concelho		
CV01	Boa Vista	
CV02	Brava	
CV03	Fogo	
CV04	Maio	
CV05	Paul	
CV06	Praia	
CV07	Ribeira Grande	
CV08	Sal	
CV09	Santa Catarina	
CV10	São Nicolau	
CV11	São Vicente	
CV12	Tarrafal	
CJ	CAYMAN ISLANDS *	
Scope Note: British dependency: includes Grand Cayman, Cayman Brac, and Little Cayman.		
district		
CJ01	Creek	
CJ02	Eastern	
CJ03	Midland	
CJ04	South Town	
CJ05	Spot Bay	
CJ06	Stake Bay	
CJ07	West End	
CJ08	Western	
CT	CENTRAL AFRICAN REPUBLIC	
*economic prefecture/préfecture economique prefecture/préfecture		
CT01	Bamingui-Bangoran	
CT02	Basse-Kotto	
CT15	Gribingui *	
CT03	Haute-Kotto	
CT04	Haute-Sangha	
CT05	Haut-Mbomou	
CT06	Kémo-Gribingui	
CT07	Lobaye	
CT08	Mbomou	
CT09	Nana-Mambéré	[Nana-Nambere]
CT10	Ombella-Mpoko	
CT11	Ouaka	
CT12	Ouham	
CT13	Ouham-Pendé	
CT16	Sangha *	
CT14	Vakaga	
CD	CHAD	
prefecture/préfecture		
CD01	Batha	
CD02	Biltine	
CD03	Borkou-Ennedi-Tibesti	
CD04	Chari-Baguirmi	
CD05	Guéra	
CD06	Kanem	
CD07	Lac	
CD08	Logone Occidental	
CD09	Logone Oriental	
CD10	Mayo-Kebbi	
CD11	Moyen-Chari	
CD12	Ouaddaï	
CD13	Salamat	
CD14	Tandjilé	
CI	CHILE	
Scope Note: Includes Isla de Pascua (Easter Island), Archipielago Juan Fernández, Isla San Félix, and Isla Sala y Gómez.		
region/región		
CI01	Valparaiso	
CI02	Aisén del General Carlos Ibáñez del Campo *	
CI03	Antofagasta	
CI04	Araucanía	
CI05	Atacama	
CI06	Biobío	
CI07	Coquimbo	
CI08	Libertador General Bernardo O'Higgins	
CI09	Los Lagos	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
CI10	Magallanes y Antártica Chilena	
CI11	Maule	
CI12	Región Metropolitana	
CI13	Tarapacá	

CH CHINA

Scope Note: See also TAIWAN on page 50.

*autonomous region/zizhiqu
**municipality/shi
province/sheng

Code	Name	(Conventional Names) [Former Names]
CH01	Anhui	[Anhwei]
CH22	Beijing **	[Peking]
CH07	Fujian	[Fukien]
CH15	Gansu	[Kansu]
CH30	Guangdong	[Kwangtung]
CH16	Guangxi *	[Kwangsi]
CH18	Guizhou	[Kweichow]
CH10	Hebei	[Hopeh]
CH08	Heilongjiang	[Heilungkiang]
CH09	Henan	[Honan]
CH12	Hubei	[Hupeh]
CH11	Hunan	
CH04	Jiangsu	[Kiangsu]
CH03	Jiangxi	[Kiangsi]
CH05	Jilin	[Kirin]
CH19	Liaoning	
CH20	Nei Mongol *	(Inner Mongolia)
CH21	Ningxia *	(Ningxia)
CH06	Qinghai	[Tsinghai]
CH26	Shaanxi	[Shensi]
CH25	Shandong	[Shantung]
CH23	Shanghai **	
CH24	Shanxi	[Shansi]
CH27	Sichuan	[Szechwan]
CH28	Tianjin **	(Tientsin)
CH13	Xinjiang *	[Sinkiang]
CH14	Xizang *	(Tibet)
CH29	Yunnan	
CH02	Zhejiang	[Chekiang]
CH31	Hainan *	

KT CHRISTMAS ISLAND

Scope Note: Australian dependency in the Indian Ocean.

IP CLIPPERTON ISLAND

Scope Note: French possession.

CK COCOS (KEELING) ISLANDS

Scope Note: Australian dependency.

CO COLOMBIA

Scope Note: Includes Archipiélago de San Andrés y Providencia, Isla de Malpelo, Roncador Cay, Serrana Bank and Serranilla Bank.

*commissariat/comisaría
department/departamento
**intendancy/intendencia

Code	Name	(Conventional Names) [Former Names]
CO01	Amazonas *	
CO02	Antioquia	
CO03	Arauca **	
CO04	Atlántico	
CO05	Bolívar	
CO06	Boyacá	
CO07	Caldas	
CO08	Caquetá	
CO32	Casanare **	
CO09	Cauca	
CO10	Cesar	
CO11	Chocó	
CO12	Córdoba	
CO13	Cundinamarca	
CO15	Guainía *	
CO14	Guaviare *	
CO16	Huila	
CO17	La Guajira	
CO18	Magdalena	
CO19	Meta	
CO20	Nariño	
CO21	Norte de Santander	
CO22	Putumayo **	
CO23	Quindío	
CO24	Risaralda	
CO25	San Andrés y Providencia **	
CO26	Santander	
CO27	Sucre	
CO28	Tolima	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued (18-Va:7)

Code	Name	(Conventional Names) [Former Names]
CO29	Valle del Cauca	
CO30	Vaupés *	
CO31	Vichada *	
CN	COMOROS	
Scope Note: Includes Anjouan, Grande Comore, Moheli and other smaller islands. Excludes MAYOTTE (MF).		
CF	CONGO	
region/région		
CF01	Bouenza	
CF03	Cuvette	
CF04	Kouilou	
CF05	Lékoumou	
CF06	Likouala	
CF07	Niari	
CF08	Plateaux	
CF09	Pool	
CF10	Sangha	
CW	COOK ISLANDS	
Scope Note: New Zealand associated state. Under provisions of a "Treaty of Friendship and Delimitation of the Maritime Boundary Between the United States of America and the Cook Islands" signed on June 11, 1980, the United States formally relinquishes its claim to the following atolls: Pukapuka (Danger), Manihiki, Penrhyn and Rakahanga. The treaty was ratified by the U.S. Senate in June, 1983.		
CR	CORAL SEA ISLANDS	
Scope Note: Australian external territory.		
CS	COSTA RICA	
Scope Note: Includes Isla del Coco.		
province/provincia		
CS01	Alajuela	
CS02	Cartago	
CS03	Guanacaste	
CS04	Heredia	
CS06	Limón	
CS07	Puntarenas	
CS08	San José	
CU	CUBA	
**city/ciudad *municipality/municipio province/provincia		
CU05	Camagüey	
CU07	Ciego de Ávila	
CU08	Cienfuegos	
CU09	Granma	
CU10	Guantánamo	
CU02	La Habana **	
CU11	La Habana	
CU12	Holguín	
CU04	Isla de la Juventud *	
CU13	Las Tunas	
CU03	Matanzas	
CU01	Pinar del Río	
CU14	Sancti Spíritus	
CU15	Santiago de Cuba	
CU16	Villa Clara	
CY	CYPRUS	
district		
CY01	Famagusta	
CY02	Kyrenia	
CY03	Larraca	
CY05	Limassol	
CY04	Nicosia	
CY06	Paphos	
CZ	CZECHOSLOVAKIA	
socialist republic/socialistická republika		
CZ01	Česká	Socialistická Republika
CZ02	Slovenská	Socialistická Republika

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
DA	DENMARK	
	Scope Note: Code DA pertains only to metropolitan Denmark, thereby excluding the FAROE ISLANDS (FO) and GREENLAND (GL), which are overseas administrative divisions of Denmark.	
	*city/staden	
	county/amt	
DA01	Århus	
DA02	Bornholm	
DA03	Frederiksborg	
DA04	Fyn	
DA05	København	
DA07	Nordjylland	
DA08	Ribe	
DA09	Ringkøbing	
DA10	Roskilde	
DA11	Sønderjylland	
DA06	Staden København *	
DA12	Storstrøm	
DA13	Vejle	
DA14	Vestsjælland	
DA15	Viborg	
DJ	DJIBOUTI	
	cercle	
DJ01	'Ali Sahîh	
DJ02	Dikhil	
DJ03	Djibouti	
DJ04	Obock	
DJ05	Tadjoura	
DO	DOMINICA	
	Scope Note: Became independent on November 3, 1978.	
	parish	
DO02	Saint Andrew	
DO03	Saint David	
DO04	Saint George	
DO05	Saint John	
DO06	Saint Joseph	
DO07	Saint Luke	
DO08	Saint Mark	
DO09	Saint Patrick	
DO10	Saint Paul	
DO11	Saint Peter	
DR	DOMINICAN REPUBLIC	
	*district/distrito	
	province/provincia	
DR01	Azua	
DR02	Baoruco	
DR03	Barahona	
DR04	Dajabón	
DR05	Distrito Nacional *	
DR06	Duarte	
DR11	Elías Piña	
DR07	El Seibo	
DR08	Espaillat	
DR09	Independencia	
DR10	La Altagracia	
DR12	La Romana	
DR13	La Vega	
DR14	María Trinidad Sánchez	
DR15	Monte Cristi	
DR16	Pedernales	
DR17	Peravia	
DR18	Puerto Plata	
DR19	Salcedo	
DR20	Samaná	
DR21	Sánchez Ramírez	
DR22	San Cristóbal	
DR23	San Juan	
DR24	San Pedro De Macorís	
DR25	Santiago	
DR26	Santiago Rodríguez	
DR27	Valverde	
EC	ECUADOR	
	province/provincia	
	Scope Note: Includes Archipiélago de Colón (Galapagos Islands).	
EC02	Azuay	
EC03	Bolívar	
EC04	Cañar	
EC05	Carchi	
EC06	Chimborazo	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
EC07	Cotopaxi	
EC08	El Oro	
EC09	Esmeraldas	
EC01	Galápagos	
EC10	Guayas	
EC11	Imbabura	
EC12	Loja	
EC13	Los Ríos	
EC14	Manabí	
EC15	Morona-Santiago	
EC16	Napo	
EC17	Pastaza	
EC18	Pichincha	
EC19	Tungurahua	
EC20	Zamora-Chinchipe	
EG	EGYPT	
governorate/muḫāfaẓah		
EG01	Ad Daqahliyah	
EG02	Al Baḥr al Aḥmar	
EG03	Al Buḥayrah	
EG04	Al Fayyūm	
EG05	Al Gharbiyah	
EG06	Al Iskandariyah	
EG07	Al Ismā'iliyah	
EG08	Al Jizah	
EG09	Al Minūfiyah	
EG10	Al Minyā	
EG11	Al Qāhirah	
EG12	Al Qalyūbiyah	
EG13	Al Wādi al Jadid	
EG14	Ash Sharqiyah	
EG15	As Suways	
EG16	Aswān	
EG17	Asyūṭ	
EG18	Bani Suwayf	
EG19	Būr Sa'īd	
EG20	Dumyāṭ	
EG26	Janūb Sinā'	
EG21	Kafr ash Shaykh	
EG22	Matruh	
EG23	Qinā	
EG27	Shamal Sinā'	
EG24	Sūhāj	
ES	EL SALVADOR	
department/departamento		
ES01	Ahuachapán	
ES02	Cabañas	
ES03	Chalatenango	
ES04	Cuscatlán	
ES05	La Libertad	
ES06	La Paz	
ES07	La Unión	
ES08	Morazán	
ES09	San Miguel	
ES10	San Salvador	
ES11	Santa Ana	
ES12	San Vicente	
ES13	Sonsonate	
ES14	Usulután	
EK	EQUATORIAL GUINEA	
Scope Note: Comprises Rio Muni and the islands of Bioko (Fernando Po), Annobón, Corisco, and Islas de Elobey.		
province/provincia		
EK01	Bioko	
EK02	Río Muni	
ET	ETHIOPIA	
province/kifle hāger		
ET01	Ārsi	[Arusi]
ET03	Balē	[Mendebo]
ET04	Eritrea	
ET05	Gamo Gofa	[Gemu Gwefa]
ET06	Gojam	[Gwejam]
ET02	Gonder	[Begemdir]
ET07	Hārergē	[Harar]
ET08	Īlubabor	
ET09	Kefa	
ET10	Shewa	[Shawā]
ET11	Sidamo	
ET12	Tigray	[Tigre]
ET13	Welega	[Walaga]
ET14	Welo	[Wallo]

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
EU	EUROPA ISLAND	
	Scope Note: French possession.	
FA	FALKLAND ISLANDS (ISLAS MALVINAS)	
	Scope Note: British colony claimed by Argentina. Includes West Falkland, East Falkland, South Georgia, and South Sandwich Islands.	
FO	FAROE ISLANDS	
	Scope Note: Overseas administrative division of DENMARK (DA).	
* FM	FEDERATED STATES OF MICRONESIA	
	Scope Note: A Compact of Free Association was signed by the United States and the Federated States of Micronesia which entered into full force and effect November 3, 1986. Comprised of the former Kosrae, Yap, Ponape, and Truk districts of the TRUST TERRITORY OF THE PACIFIC ISLANDS (PS).	
FM01	Kosrae	
FM02	Pohnpei	
FM03	Truk	
FM04	Yap *	
FJ	FIJI	
	Scope Note: Includes Viti Levu, Vanua Levu, and Rotuma islands.	
	*dependency division	
FJ01	Central	
FJ02	Eastern	
FJ03	Northern	
FJ04	Rotuma *	
FJ05	Western	
FI	FINLAND	
	province/lääni	
FI01	Ahvenanmaa	
FI02	Häme	
FI03	Keski-Suomi	
FI04	Kuopio	
FI05	Kymi	
FI06	Lappi	
FI07	Mikkeli	
FI08	Oulu	
FI09	Pohjois-Karjala	
FI10	Turku ja Pori	
FI11	Uusimaa	
FI12	Vaasa	
FR	FRANCE	
	Scope Note: Code FR pertains only to metropolitan France, thereby excluding FRENCH GUIANA (FG), FRENCH POLYNESIA (FP), FRENCH SOUTHERN AND ANTARCTIC LANDS (FS), GUADELOUPE (GP), MARTINIQUE (MB), NEW CALEDONIA (NC), REUNION (RE), SAINT PIERRE AND MIQUELON (SB), and WALLIS AND FUTUNA (WF), all of which are overseas administrative divisions of France.	
	department/département *territory/territoire	
FR01	Ain	
FR02	Aisne	
FR03	Allier	
FR12	Alpes-de-Haute-Provence	
FR04	Alpes-Maritimes	
FR05	Ardèche	
FR06	Ardennes	
FR07	Ariège	
FR08	Aube	
FR09	Aude	
FR10	Aveyron	
FR11	Bas-Rhin	

*Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]	Code	Name	(Conventional Names) [Former Names]
FR15	Bouches-du-Rhône				
FR16	Calvados				
FR17	Cantal				
FR18	Charente				
FR19	Charente-Maritime				
FR20	Cher				
FR21	Corrèze				
FR90	Corse-du-Sud				
FR22	Côte-d'Or				
FR23	Côtes-du-Nord				
FR24	Creuse				
FR25	Deux-Sèvres				
FR26	Dordogne				
FR27	Doubs				
FR28	Drôme				
FR79	Essonne				
FR29	Eure				
FR30	Eure-et-Loir				
FR31	Finistère				
FR32	Gard				
FR33	Gers				
FR34	Gironde				
FR96	Haute-Corse				

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
FR35	Haute-Garonne	
FR36	Haute-Loire	
FR37	Haute-Marne	
FR38	Hautes-Alpes	
FR39	Haute-Saône	
FR40	Haute-Savoie	
FR41	Hautes-Pyrénées	
FR42	Haute-Vienne	
FR43	Haut-Rhin	
FR77	Hauts-de-Seine	
FR44	Hérault	
FR45	Ille-et-Vilaine	
FR46	Indre	
FR47	Indre-et-Loire	
FR48	Isère	
FR49	Jura	
FR50	Landes	
FR51	Loire	
FR52	Loire-Atlantique	
FR53	Loiret	
FR54	Loir-et-Cher	
FR55	Lot	
FR56	Lot-et-Garonne	
FR57	Lozère	
FR58	Maine-et-Loire	
FR59	Manche	
FR60	Marne	
FR61	Mayenne	
FR62	Meurthe-et-Moselle	
FR63	Meuse	
FR64	Morbihan	
FR65	Moselle	
FR66	Nièvre	
FR67	Nord	
FR68	Oise	
FR69	Orne	
FR70	Pas-de-Calais	
FR71	Puy-de-Dôme	
FR13	Pyrénées-Atlantiques	
FR72	Pyrénées-Orientales	
FR73	Rhône	
FR74	Saône-et-Loire	
FR75	Sarthe	
FR76	Savoie	
FR78	Seine-et-Marne	
FR80	Seine-Maritime	
FR91	Seine-Saint-Denis	
FR81	Somme	
FR82	Tarn	
FR83	Tarn-et-Garonne	
FR14	Territoire de Belfort *	
FR92	Val-de-Marne	
FR93	Val-d'Oise	
FR84	Var	
FR85	Vaucluse	
FR86	Vendée	
FR87	Vienne	
FR94	Ville de Paris	
FR88	Vosges	
FR89	Yonne	
FR95	Yvelines	

FG FRENCH GUIANA

Scope Note: Overseas department of France.

FP FRENCH POLYNESIA

Scope Note: Overseas territory of FRANCE (FR). Includes the Society Islands, Îles Tuamotu, Îles Marquises, and Îles Tubuaï. Excludes CLIPPERTON ISLAND (IP)

FS FRENCH SOUTHERN AND ANTARCTIC LANDS

Scope Note: Overseas territory of FRANCE (FR). Includes Île Amsterdam, Île Saint-Paul, Îles Kerguelen, and Îles Crozet. Terre Adélie (French-claimed sector of Antarctica) is not included in this entity but rather, see ANTARCTICA (AY). The U.S. does not recognize sovereignty in Antarctica, therefore Terre Adélie is excluded from this entity.

GB GABON

province

GB01 Estuaire
GB02 Haut Ogooué
GB03 Moyen-Ogooué
GB04 Ngounié
GB05 Nyanga
GB06 Ogooué-Ivindo
GB07 Ogooué-Lolo
GB08 Ogooué-Maritime
GB09 Woleu-Ntem

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
GA	GAMBIA, THE	
*city		
division		
GA01	Banjul *	
GA02	Lower River	
GA03	MacCarthy Island	
GA07	North Bank	
GA04	Upper River	
GA05	Western	
GZ	GAZA STRIP	
Scope Note: Part of former Palestine mandate. Includes city of Gaza and environs. Bounded by the Mediterranean, Egypt, and Israel.		
* GM	GERMANY	
Scope Note: Comprises the Federal Republic of Germany, the former German Democratic Republic, and Berlin		
state/land		
*city		
GM01	Baden-Wurttemberq	
GM02	Bayern	
GM03	Bremen	
GM04	Hamburg	
GM05	Hessen	
GM06	Niedersachsen	
GM07	Nordrhein-Westfalen	
GM08	Rheinland-Pfalz	
GM09	Saarland	
GM10	Schleswig-Holstein	
GM11	Brandenburg	
GM12	Mecklenburg-Vorpommern	
GM13	Sachsen	
GM14	Sachsen-Anhalt	
GM15	Thuriqnen	
GM16	Berlin*	
GH	GHANA	
region		
GH02	Ashanti	
GH03	Brong-Ahafo	
GH04	Central	
GH05	Eastern	
GH01	Greater Accra	
GH06	Northern	
GH07	Upper	
GH08	Volta	
GH09	Western	
GI	GIBRALTAR	
Scope Note: British colony.		
GO	GLORIOSO ISLANDS	
Scope Note: French possession.		
GR	GREECE	
department/nomós		
GR31	Aitolía kai Akarnanía	
GR38	Akhaía	
GR36	Argolís	
GR41	Arkadhía	
GR20	Árta	
GR35	Attikí	
GR47	Dhodhekánisos	
GR04	Dráma	
GR30	Evritanía	
GR01	Évros	
GR34	Évvoia	
GR08	Flórina	
GR32	Fokís	
GR29	Fthiótis	
GR10	Grevená	
GR39	Ilía	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
GR12	Imathía	
GR17	Ioánnina	
GR45	Iráklion	
GR23	Kardhítsa	
GR09	Kastoría	
GR14	Kavála	
GR27	Kefallinía	
GR25	Kérkira	
GR15	Khalkidhikí	
GR43	Khaniá	
GR50	Khíos	
GR49	Kikládhes	
GR06	Kilkís	
GR37	Korinthía	
GR11	Kozáni	
GR42	Lakonía	
GR21	Lárisa	
GR46	Lasíthi	
GR51	Lésvos	
GR26	Levkás	
GR24	Magnisía	
GR40	Messinía	
GR07	Pélla	
GR16	Pieria	
GR19	Préveza	
GR44	Rethímni	
GR02	Rodhópi	
GR48	Sámos	
GR05	Sérrai	
GR18	Thesprotía	
GR13	Thessaloníki	
GR22	Tríkala	
GR33	Voiotía	
GR03	Xánthi	
GR28	Zákinthos	
GL	GREENLAND	
Scope Note: Overseas administrative division of DENMARK (DA).		
municipality		
GL01	Nordgrønland	
GL02	Østgrønland	
GL03	Vestgrønland	
GJ	GRENADA	
Scope Note: Includes the southern Grenadines.		
GP	GUADELOUPE	
Scope Note: Overseas department of FRANCE (FR) Includes Grande-Terre, Basse-Terre, Îles des Saintes, Îles de la Petite Terre, La Désirade, Île Saint-Barthélemy, Marie-Galante, and northern Saint-Martin.		
GQ	GUAM	
Scope Note: U.S. territory.		
GT	GUATEMALA	
department/departamento		
GT01	Alta Verapaz	
GT02	Baja Verapaz	
GT03	Chimaltenango	
GT04	Chiquimula	
GT05	El Progreso	
GT06	Escuintla	
GT07	Guatemala	
GT08	Huehuetenango	
GT09	Izabal	
GT10	Jalapa	
GT11	Jutiapa	
GT12	Petén	
GT13	Quezaltenango	
GT14	Quiché	
GT15	Retalhuleu	
GT16	Sacatepéquez	
GT17	San Marcos	
GT18	Santa Rosa	
GT19	Sololá	
GT20	Suchitepéquez	
GT21	Totonicapán	
GT22	Zacapa	
GK	GUERNSEY	
Scope Note: British crown dependency.		
GV	GUINEA	
administrative region/région administrative		
GV01	Beyla	
GV02	Boffa	
GV03	Boké	
GV04	Conakry	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
GV05	Dabola	
GV06	Dalaba	
GV07	Dinguiraye	
GV08	Dubréka	
GV09	Faranah	
GV10	Forécariah	
GV11	Fria	
GV12	Gaoual	
GV13	Guéckédou	
GV14	Kankan	
GV15	Kérouané	
GV16	Kindia	
GV17	Kissidougou	
GV18	Koundara	
GV19	Kouroussa	
GV20	Labé	
GV21	Macenta	
GV22	Mali	
GV23	Mamou	
GV24	Nzérékoré	
GV25	Pita	
GV26	Siguiri	
GV27	Télimélé	
GV28	Tougué	
GV29	Yomou	
PU	GUINEA-BISSAU	
region		
PU01	Bafatá	
PU03	Bissau	
PU05	Bolama	
PU02	Buba	
PU06	Cacheu	
PU10	Gabú	
PU04	Oio	
PU07	Tombali	
GY	GUYANA	
✱ district		
GY10	Barima-Waini	
GY11	Guyuni-Mazaruni	
GY12	Demerara-Mahaica	
GY13	East Berbice-Corentyne	
GY14	Essequibo Islands-West Demerara	
GY15	Mahaica-Berbice	
GY16	Pomeroon-Supenaam	
GY17	Potaro-Siparuni	
GY18	Upper Demerara-Berbice	
GY19	Upper Takutu-Upper Essequibo	
HA	HAITI	
department/département		
HA06	Artibonite	
HA09	Nord	
HA03	Nord-Ouest	
HA11	Ouest	
HA12	Sud	
HA07	Centre	
HA08	Grand' Anse	
HA10	Nord-Est	
HA13	Sud-Est ✱	
HM	HEARD ISLAND AND MCDONALD ISLANDS	
Scope Note:	Australian external territory.	
HO	HONDURAS	
department/departamento		
HO01	Atlántida	
HO02	Choluteca	
HO03	Colón	
HO04	Comayagua	
HO05	Copán	
HO06	Cortés	
HO07	El Paraíso	
HO08	Francisco Morazán	
HO09	Gracias a Dios	
HO10	Intibucá	
HO11	Islas de la Bahía	
HO12	La Paz	
HO13	Lempira	
HO14	Ocotepeque	
HO15	Olancho	
HO16	Santa Bárbara	
HO17	Valle	
HO18	Yoro	
HK	HONG KONG	
Scope Note:	British colony.	
HQ	HOWLAND ISLAND	
Scope Note:	U.S. territory.	

✱ Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued (18-Va:7)

Code	Name	(Conventional Names) [Former Names]
HU	HUNGARY	
	*capital city/főváros	
	county/megye	
	**urban county/megyei város	
HU01	Bács-Kiskun	
HU02	Baranya	
HU03	Békés	
HU04	Borsod-Abaúj-Zemplén	
HU05	Budapest *	
HU06	Csongrád	
HU07	Debrecen **	
HU08	Fejér	
HU25	Győr **	
HU09	Győr-Sopron	
HU10	Hajdú-Bihar	
HU11	Heves	
HU12	Komárom	
HU13	Miskolc **	
HU14	Nógrád	
HU15	Pécs **	
HU16	Pest	
HU17	Somogy	
HU18	Szabolcs-Szatmár	
HU19	Szeged **	
HU20	Szolnok	
HU21	Tolna	
HU22	Vas	
HU23	Veszprém	
HU24	Zala	
IC	ICELAND	
	county/sýsla	
	*independent town/kaupstaðir	
IC01	Akranes *	
IC02	Akureyri *	
IC03	Árnessýsla	
IC04	Austur-Barðastrandarsýsla	
IC05	Austur-Húnavatnssýsla	
IC06	Austur-Skaftafellssýsla	
IC07	Borgarfjarðarsýsla	
IC08	Dalasýsla	
IC09	Eyjafjarðarsýsla	
IC10	Gullbringusýsla	
IC11	Hafnarfjörður *	
IC12	Húsavík *	
IC13	Ísafjörður *	
IC14	Keflavík *	
IC15	Kjósarsýsla	
IC16	Kópavogur *	
IC17	Mýrasýsla	
IC18	Neskaupstaður *	
IC19	Norður-Ísafjarðarsýsla	
IC20	Norður-Múlasýsla	
IC21	Norður-Þingeyjarsýsla	
IC22	Ólafsfjörður *	
IC23	Rangárvallasýsla	
IC24	Reykjavík *	
IC25	Sauðárkrókur *	
IC26	Seyðisfjörður *	
IC27	Siglufjörður *	
IC28	Skagafjarðarsýsla	
IC29	Snæfellsnes- og Hanppadalssýsla	
IC30	Strandasýsla	
IC31	Suður-Múlasýsla	
IC32	Suður-Þingeyjarsýsla	
IC33	Vestmannaeyjar *	
IC34	Vestur-Baðhastrandarsýsla	
IC35	Vestur-Húnavatnssýsla	
IC36	Vestur-Ísafjarðarsýsla	
IC37	Vestur-Skaftafellssýsla	
IN	INDIA	
	Scope Note: Includes the Amindivi, Cannanore, Andaman, and Nicobar Islands, Minicoy Island, Damān, Diu, Goa, and Sikkim.	
	state	
	*union territory	
IN01	Andaman and Nicobar Islands *	
IN02	Andhra Pradesh	
IN30	Arunāchal Pradesh *	
IN03	Assam	
IN04	Bihār	
IN05	Chandigarh *	
IN06	Dādra and Nagar Haveli *	
IN07	Delhi *	
IN08	Goa, Damān, and Diu *	
IN09	Gujarāt	
IN10	Haryāna	
IN11	Himāchal Pradesh	
IN12	Jammu and Kashmir	
IN19	Karnātaka	
IN13	Kerala	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
IN14	Lakshadweep *	[Laccadive, Minacoy, and Amindivi Islands]
IN15	Madhya Pradesh	
IN16	Mahārāshtra	
IN17	Manipur	
IN18	Meghālaya	
IN31	Mizoram *	
IN20	Nagaland	
IN21	Orissa	
IN22	Pondicherry *	
IN23	Punjab	
IN24	Rājasthān	
IN29	Sikkim	
IN25	Tamil Nādu	[Madras] ✱
IN26	Tripura	
IN27	Uttar Pradesh	
IN28	West Bengal	
ID	INDONESIA	

Scope Note: Includes Irian Jaya (West New Guinea) and the former Portuguese overseas province of Portuguese Timor with its exclave of Oé-Cusse.

province/propinsi
**special district/daerah khusus ibukota
*special region/daerah istimewa

Code	Name	(Conventional Names) [Former Names]
ID01	Aceh*	[Atjeh]
ID02	Bali	
ID03	Bengkulu	
ID09	Irian Jaya	
ID04	Jakarta Raya **	[Djakarta Raya]
ID05	Jambi	[Djambi]
ID06	Jawa Barat	[Djawa Barat]
ID07	Jawa Tengah	[Djawa Tengah]
ID08	Jawa Timur	[Djawa Timur]
ID11	Kalimantan Barat	
ID12	Kalimantan Selatan	
ID13	Kalimantan Tengah	
ID14	Kalimantan Timur	
ID15	Lampung	
ID16	Maluku	
ID17	Nusa Tenggara Barat	
ID18	Nusa Tenggara Timur	
ID19	Riau	
ID20	Sulawesi Selatan	
ID21	Sulawesi Tengah	
ID22	Sulawesi Tenggara	
ID23	Sulawesi Utara	
ID24	Sumatera Barat	
ID25	Sumatera Selatan	
ID26	Sumatera Utara	
ID27	Timor Timur	
ID10	Yogyakarta *	[Jogjakarta]
IR	IRAN	

province/ostān

Code	Name	(Conventional Names) [Former Names]
IR01	Āżarbāyjān-e Bākhtarī	
IR02	Āżarbāyjān-e Khāvarī	
IR04	Balūchestān va Sistān	
IR05	Bovir Aḥmadi va Kohkilūyeh	
IR03	Chahār Maḥāll va Bakhtiārī	
IR28	Esfahan	
IR07	Fars	
IR08	Gilan	
IR09	Hamadan	
IR11	Hormozgan	
IR10	Ilam	
IR29	Kerman	
IR13	Bakhtaran	
IR22	Bushehr	
IR30	Khorasan	
IR15	Khuzestan	
IR16	Kordestan	
IR23	Lorestan	
IR24	Markazi	
IR17	Mazandaran	
IR25	Semnan	
IR31	Yazd	
IR27	Zanjan	
IR26	Tehran	
IZ	IRAQ ✱	

province/muḥāfaẓah

Code	Name	(Conventional Names) [Former Names]
IZ01	Al Anbār	
IZ02	Al Baṣrah	
IZ03	Al Muthanná	
IZ04	Al Qādisiyah	
IZ17	An Najaf	
IZ05	As Sulaymāniyah	
IZ13	At Ta'mīm	[Kirkuk]
IZ06	Bābil	
IZ07	Baghdād	
IZ08	Dahūk	
IZ09	Dhi Qār	
IZ10	Diyālá	

✱ Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued (18-Va:7)

Code	Name	(Conventional Names) [Former Names]
IZ11	Irbil	
IZ12	Karbalā'	
IZ14	Maysān	
IZ15	Nīnawá	
IZ18	Ṣalāḥ ad Dīn	
IZ16	Wāsiṭ	
IY	IRAQ-SAUDI ARABIA NEUTRAL ZONE	
EI	IRELAND	
Scope Note: Excludes Northern Ireland.		
county		
EI01	Carlow	
EI02	Cavan	
EI03	Clare	
EI04	Cork	
EI06	Donegal	
EI07	Dublin	
EI10	Galway	
EI11	Kerry	
EI12	Kildare	
EI13	Kilkenny	
EI15	Laois	
EI14	Leitrim	
EI16	Limerick	
EI18	Longford	
EI19	Louth	
EI20	Mayo	
EI21	Meath	
EI22	Monaghan	
EI23	Offaly	
EI24	Roscommon	
EI25	Sligo	*
EI26	Tipperary	
EI27	Waterford	
EI29	Westmeath	
EI30	Wexford	
EI31	Wicklow	
IS	ISRAEL	
Scope Note: Includes area within the armistice lines of 1949 and 1950, and the Israel-Jordan and the Israel Syria demilitarized zones.		
district/meḥoz		
IS01	HaDarom	(Southern)
IS02	HaMerkaz	(Central)
IS03	Haẓafon	(Northern)
IS04	Ḥefa	(Haifa)
IS05	Tel Aviv	
IS06	Yerushalayim	(Jerusalem)
IT	ITALY	
region/regione		
IT01	Abruzzi	
IT02	Basilicata	
IT03	Calabria	
IT04	Campania	
IT05	Emilia-Romagna	
IT06	Friuli-Venezia Giulia	
IT07	Lazio	
IT08	Liguria	
IT09	Lombardia	
IT10	Marche	
IT11	Molise	
IT12	Piemonte	
IT13	Puglia	
IT14	Sardegna	
IT15	Sicilia	
IT16	Toscana	
IT17	Trentino-Alto Adige	
IT18	Umbria	
IT19	Valle d'Aosta	
IT20	Veneto	
IV	IVORY COAST	
department/département		
IV01	Abengourou	
IV35	Abidjan	
IV04	Aboisso	
IV05	Adzope	
IV06	Agboville	
IV07	Biankouma	
IV38	Bondoukou	
IV39	Bouafle	
IV40	Bouake	
IV11	Bouna	
IV12	Boundiali	
IV03	Dabakala	
IV41	Daloa	
IV14	Danane	*

* Revised

TABLE 1. Geopolitical Entities and Their Codes Continued

Code	Name	(Conventional Names) [Former Names]
* IV43	Dimbokro	
IV16	Divo	
IV17	Ferkessedougou	
IV18	Gagnoa	
IV46	Guiglo	
IV20	Katiola	
IV21	Korhogo	
IV47	Man	
IV23	Odienne	
IV51	Sassandra	
IV25	Seguela	
IV26	Touba	
IV36	Bangolo	
IV37	Beoumi	
IV27	Bongouanou	
IV42	Daoukro	
IV44	Duekoue	
IV45	Grand-Lahou	
IV28	Issia	
IV29	Lakota	
IV30	Mankono	
IV48	Mbahiakro	
IV31	Oume	
IV49	Sakassou	
IV50	San Pedro	
IV52	Sinfra	
IV32	Soubre	
IV53	Tabou	
IV54	Tanda	
IV55	Tiassale	
IV33	Tingrela	
IV56	Toumodi	
IV57	Vavoua	
IV58	Yamoussoukro	
IV34	Zuenoula	
* JM	JAMAICA	
parish		
JM01	Clarendon	
JM02	Hanover	
JM17	Kingston	
JM04	Manchester	
JM07	Portland	
JM08	Saint Andrew	
JM09	Saint Ann	
JM10	Saint Catherine	
JM11	Saint Elizabeth	
JM12	Saint James	
JM13	Saint Mary	
JM14	Saint Thomas	
JM15	Trelawny	
JM16	Westmoreland	

Code	Name	(Conventional Names) [Former Names]
JN	**JAN MAYEN**	
Scope Note: Insular administrative division of NORWAY (NO).		
JA	**JAPAN**	
Scope Note: Includes Ryukyu, Bonin, and Volcano Islands and the islands of Minami-tori-shima, Nishino-shima, and Okino-tori-shima.		
prefecture		
JA01	**Aichi**	
JA02	**Akita**	
JA03	**Aomori**	
JA04	**Chiba**	
JA05	**Ehime**	
JA06	**Fukui**	
JA07	Fukuoka	
JA08	Fukushima	
JA09	Gifu	
JA10	Gumma	
JA11	Hiroshima	
JA12	Hokkaidō	
JA13	Hyōgo	
JA14	Ibaraki	
JA15	Ishikawa	
JA16	Iwate	
JA17	Kagawa	
JA18	Kagoshima	
JA19	Kanagawa	
JA20	Kōchi	
JA21	Kumamoto	
JA22	Kyōto	
JA23	Mie	
JA24	Miyagi	
JA25	Miyazaki	
JA26	Nagano	
JA27	Nagasaki	
JA28	Nara	
JA29	Niigata	
JA30	Ōita	
JA31	Okayama	
JA47	Okinawa	
JA32	Ōsaka	
JA33	Saga	
JA34	Saitama	
JA35	Shiga	
JA36	Shimane	
JA37	Shizuoka	
JA38	Tochigi	
JA39	Tokushima	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*	*Code*	*Name*	*(Conventional Names) [Former Names]*
JA40	Tōkyō				
JA41	Tottori				
JA42	Toyama				
JA43	Wakayama				
JA44	Yamagata				
JA45	Yamaguchi				
JA46	Yamanashi				
DQ	JARVIS ISLAND				

Scope Note: U.S. territory.

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
JE	JERSEY	
	Scope Note: British crown dependency.	
JQ	JOHNSTON ATOLL	
	Scope Note: U.S. territory.	
JO	JORDAN	
	governorate/muḥāfaẓah	
* J002	Al Balqa	
J009	Al Karak	
J014	Irbid	
J007	Maan	
J011	Amman	
J010	Al Mafraq	
J012	At Tafilah	
J013	Az Zarqa	
JU	JUAN DE NOVA ISLAND	
	Scope Note: French possession.	
	Next item is KENYA	

*Revised

Code	Name	(Conventional Names) [Former Names]
KE	KENYA	
	*area	
	province	
KE01	Central	
KE02	Coast	
KE03	Eastern	
KE05	Nairobi Area *	
KE06	North-Eastern	
KE07	Nyanza	
KE08	Rift Valley	
KE09	Western	
KQ	KINGMAN REEF	
	Scope Note: U.S. territory.	
KR	KIRIBATI	
	Scope Note: The Governments of the United States and Kiribati signed a "Treaty of Friendship" on September 20, 1979. Under provisions of the treaty, the United States relinquishes its claims to the following islands: Birnie, Canton, Enderbury, Gardner, Hull, McKean, Phoenix, and Sydney in the Phoenix Islands, and Caroline, Christmas, Flint, Malden, Starbuck, and Vostok in the Line Islands. The treaty was ratified by the U. S. Senate in June, 1983.	
KR01	Gilbert Islands	
KR02	Line Islands	
KR03	Phoenix Islands	
KN	KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF	
	Scope Note: Also known as "North Korea." Regime not recognized by the U.S.	
	province	
	*special city	
KN01	Chagang-do	
KN02	Ch'ŏngjin si *	
KN03	Hamgyŏng-namdo	
KN04	Hamgyong-bukto *	
KN06	Hwanghae-namdo	
KN07	Hwanghae-pukto	
KN08	Kaesŏng si *	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
KN09	Kangwon-do	
KN15	P'yongan-namdo	
KN11	P'yongan-bukto	
KN12	P'yongyang-si*	
KN13	Yanggang-do	
KN14	Namp'o-si	
KS	KOREA, REPUBLIC OF	
province		
*special city		
KS01	Cheju-do	
KS02	Cholla-namdo	
KS03	Cholla-bukto	
KS04	Ch'ungch'ong-namdo	
KS05	Ch'ungch'ong-bukto	
KS06	Kangwon-do	
KS13	Kyonggi-do	
KS08	Kyongsang-namdo	
KS14	Kyongsang-bukto	
KS10	Pusan-Jikhalsi*	
KS11	Soul-t'ukpyolsi	
KS12	Inch'on-jikhalsi	
KS15	Taegu-jikhalsi	
KU	KUWAIT	
governorate/muḥāfaẓah		
KU01	Al Aḥmadī	
KU02	Al Kuwayt	
KU03	Ḥawalli	
LA	LAOS	
province/khouèng		
LA01	Attapu	[Attopeu]
LA02	Champasak	[Champassak]
LA03	Houaphan	[Houa Phan]
LA04	Khammouan	[Khammouane]
LA05	Louang Namtha	[Houa Khong]
LA06	Louangphrabang	[Luang Prabang]
LA07	Oudômxai	
LA08	Phôngsali	[Phong Saly]
LA09	Saravan	[Saravane]
LA10	Savannakhét	
LA11	Vientiane	
LA13	Xaignabouri	[Sayaboury]
LA14	Xiangkhoang	[Xieng Khouang]
LE	LEBANON	
governorate/muḥāfaẓah		
LE01	Al Biqā'	
LE02	Al Janūb	
LE03	Ash Shamāl	
LE04	Bayrūt	
LE05	Jabal Lubnān	
LT	LESOTHO	
district		
LT01	Berea	
LT02	Butha-Buthe	
LT03	Leribe	
LT04	Mafeteng	
LT05	Maseru	
LT06	Mohales Hoek	
LT07	Mokhotlong	
LT08	Qachas Nek	
LT09	Quthing	
LI	LIBERIA	
*commonwealth district		
county		
LI01	Bong	
LI03	Grand Bassa	
LI04	Grand Cape Mount	
LI02	Grand Jide	
LI05	Lofa	
LI06	Maryland	
LI07	Monrovia *	
LI08	Montserrado	
LI09	Nimba	
LI10	Sino	
LY	LIBYA	
municipality/baladīyah		
LY01	Ajdābiyā	
LY02	Al Abyār	
LY03	Al 'Azīziyah	
LY04	Al Bayḍā'	
LY05	Al Jufrah	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
LY06	Al Jumayl	
LY07	Al Khums	
LY08	Al Kufrah	
LY09	Al Marj	
LY10	Al Qarābūlli	
LY11	Al Qubbah	
LY12	Al 'Ujaylāt	
LY13	Ash Shāţi'	
LY14	Awbārī	
LY15	Az Zahrā'	
LY16	Az Zāwiyah	
LY17	Banghāzī	
LY18	Bani Walid	
LY19	Bin Jawwād	
LY20	Darnah	
LY21	Ghadāmis	
LY22	Gharyān	
LY23	Ghāt	
LY24	Jādū	
LY25	Jālū	
LY26	Janzūr	
LY27	Masallātah	
LY28	Miṣrātah	
LY29	Mizdah	
LY30	Murzuq	
LY31	Nālūt	
LY32	Qamīnis	
LY33	Qaṣr Bin Ghashir	
LY34	Sabhā	
LY35	Ṣabrātah	
LY36	Shaḫḫāt	
LY37	Ṣurmān	
LY38	Surt	
LY39	Tajūrā'	
LY40	Ţarābulus	
LY41	Tarhūnah	
LY42	Ţubruq	
LY43	Tukrah	
LY44	Yafran	
LY45	Zlitan	
LY46	Zuwārah	
LS	LIECHTENSTEIN	
commune/gemeinde		
LS01	Balzers	
LS02	Eschen	
LS03	Gamprin	
LS04	Mauren	
LS05	Planken	
LS06	Ruggell	
LS07	Schaan	
LS08	Schellenberg	
LS09	Triesen	
LS10	Triesenberg	
LS11	Vaduz	
LU	LUXEMBOURG	
district/district		
LU01	Diekirch	
LU02	Grevenmacher	
LU03	Luxembourg	
MC	MACAU	
Scope Note: Portuguese administered territory.		
district/concelho		
MC01	Ilhas	
MC02	Macau	[Macao]
MA	MADAGASCAR	
province/faritanin		
MA05	Antananarivo	
MA01	Antsiranana	
MA02	Fianarantsoa	
MA03	Mahajanga	
MA04	Toamasina	
MA06	Toliara	
MI	MALAWI	
district		
MI01	Blantyre	
MI02	Chikwawa	
MI03	Chiradzulu	
MI04	Chitipa	
MI05	Cholo	
MI06	Dedza	
MI07	Dowa	
MI08	Karonga	
MI09	Kasungu	
MI11	Lilongwe	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
MI10	Machinga	[Kasupe]
MI12	Mangochi	[Fort Johnston]
MI13	Mchinji	
MI14	Mulanje	[Mlange]
MI15	Mzimba	
MI16	Ncheu	
MI17	Nkhata Bay	
MI18	Nkhota Kota	
MI19	Nsanje	
MI20	Ntchisi	[Nchisi]
MI21	Rumphi	[Rumpi]
MI22	Salima	
MI23	Zomba	

MY MALAYSIA

*federal territory/wilayah persekutuan
state/negeri

MY01	Johor	
MY02	Kedah	
MY03	Kelantan	
MY04	Melaka	
MY05	Negeri Sembilan	
MY06	Pahang	
MY07	Perak	
MY08	Perlis	*
MY09	Pulau Pinang	
MY10	Sabah	
MY11	Sarawak	
MY12	Selangor	
MY13	Terengganu	
MY14	Wilayah Persekutuan *	

MV MALDIVES

district

MV02	Aliff	
MV20	Baa	
MV17	Daalu	
MV14	Faafu	
MV27	Gaafu Aliff	
MV28	Gaafu Daalu	
MV07	Haa Aliff	
MV23	Haa Daalu	
MV26	Kaafu	
MV05	Laamu	
MV03	Laviyani	
MV12	Meemu	
MV29	Naviyani	
MV25	Noonu	
MV13	Raa	
MV01	Seenu	
MV24	Shaviyani	
MV08	Thaa	
MV04	Waavu	

ML MALI

district/région

ML01	Bamako	
ML02	Gao	
ML03	Kayes	
ML07	Koulikoro	
ML04	Mopti	
ML05	Ségou	
ML06	Sikasso	
ML08	Tombouctou	

MT MALTA

IM MAN, ISLE OF

Scope Note: British crown dependency.

RM MARSHALL ISLANDS

Scope Note: A Compact of Free Association was signed by the United States and the Republic of the Marshall Islands which entered into full force and effect October 21, 1986. Comprised of the former Marshall Islands district of the TRUST TERRITORY OF THE PACIFIC ISLANDS (PS). *

MB MARTINIQUE

Scope Note: Overseas department of FRANCE (FR).

MR MAURITANIA

region/région

MR07	Adrar	[Septième Région]
MR05	Brakna	[Cinquième Région]
MR08	Dakhlet Nouadhibou	[Huitième Région]
MR03	El 'Açâba	[Troisième Région]

* Revised

TABLE 1. Geopolitical Entities and Their Codes--Continued

Code	*Name*	*(Conventional Names) [Former Names]*	*Code*	*Name*	*(Conventional Names) [Former Names]*
MR04	Gorgol	[Quatrième Région]			
MR10	Guidimaka	[Dixième Région]			
MR01	Hodh Ech Chargui	[Première Région]			
MR02	Hodh El Gharbi	[Deuxième Région]			
MR12	Inchiri	[Douzième Région]			
MR09	Tagant	[Neuvième Région]			
MR11	Tiris Zemmour	[Onzième Région]			
MR06	Trarza	[Sixième Région]			

(18-Va:7)

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
MP	MAURITIUS	
	Scope Note: Includes Rodrigues island, Agalega Islands and Cargados Carajos Shoals.	
	*district council urban council	
MP02	Beau Bassin-Rose Hill	
MP04	Curepipe	
MP05	Moka-Flacq *	
MP06	North *	
MP07	Port Louis	
MP08	Quatre Bornes	
MP10	South *	
MP11	Vacoas-Phoenix	
MF	MAYOTTE	
	Scope Note: Territorial collectivity FRANCE (FR). Ultimate status not yet determined.	
MX	MEXICO	
	*federal district/distrito federal state/estado	
MX01	Aguascalientes	
MX02	Baja California Norte	
MX03	Baja California Sur	
MX04	Campeche	
MX05	Chiapas	
MX06	Chihuahua	
MX07	Coahuila de Zaragoza	
MX08	Colima	
MX09	Distrito Federal *	
MX10	Durango	
MX11	Guanajuato	
MX12	Guerrero	
MX13	Hidalgo	
MX14	Jalisco	
MX15	México	
MX16	Michoacán de Ocampo	
MX17	Morelos	
MX18	Nayarit	
MX19	Nuevo León	
MX20	Oaxaca	
MX21	Puebla	
MX22	Querétaro de Arteaga	
MX23	Quintana Roo	
MX24	San Luis Potosí	
MX25	Sinaloa	
MX26	Sonora	
MX27	Tabasco	
MX28	Tamaulipas	
MX29	Tlaxcala	
MX30	Veracruz-Llave	
MX31	Yucatán	
MX32	Zacatecas	
MQ	MIDWAY ISLANDS	
	Scope Note: U.S. territory.	
MN	MONACO	
	commune	
MN01	La Condamine	
MN02	Monaco	
MN03	Monte-Carlo	
MG	MONGOLIA	
	*municipality/hot province/aymag	
MG01	Arhangay	
MG02	Bayanhongor	
MG03	Bayan-Ölgiy	
MG21	Bulgan *	
MG05	Darhan *	
MG06	Dornod	
MG07	Dornogovĭ	
MG08	Dundgovĭ	
MG09	Dzavhan	
MG10	Govĭ Altay	
MG11	Hentiy	
MG12	Hovd	
MG13	Hövsgöl	
MG14	Ömnögovĭ	
MG15	Övörhangay	
MG16	Selenge	
MG17	Sühbaatar	
MG18	Töv	
MG20	Ulaanbaatar *	
MG19	Uvs	
MG22	Erdenet *	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
MH	MONTSERRAT	
Scope Note: British colony.		
parish		
MH01	Saint Anthony	
MH02	Saint Georges	
MH03	Saint Peter	
MO	MOROCCO	
*municipality/wilaya		
province/province		
MO01	Agadir	
MO02	Al Hoceïma	
MO03	Azilal	
MO05	Beni Mellal	
MO04	Ben Slimane	
MO06	Boulemane	
MO07	Casablanca *	
MO08	Chaouen	
MO09	El Jadida	
MO10	El Kelaa des Srarhna	
MO11	Er Rachidia	
MO12	Essaouira	
MO13	Fès	
MO14	Figuig	
MO33	Guelmim	
MO34	Ifrane	
MO15	Kenitra	
MO16	Khemisset	
MO17	Khenifra	
MO18	Khouribga	
MO35	Laâyoune	
MO19	Marrakech	
MO20	Meknès	
MO21	Nador	
MO22	Ouarzazate	
MO23	Oujda	
MO24	Rabat-Salé *	[Rabat]
MO25	Safi	
MO26	Settat	
MO38	Sidi Kacem	
MO27	Tanger	
MO36	Tan-Tan	
MO37	Taounate	
MO39	Taroudannt	
MO29	Tata	
MO30	Taza	
MO31	Tétouan	
MO32	Tiznit	
MZ	MOZAMBIQUE	
province/província		
MZ01	Cabo Delgado	
MZ02	Gaza	
MZ03	Inhambane	
MZ10	Manica	
MZ04	Maputo	
MZ06	Nampula	
MZ07	Niassa	
MZ05	Sofala	
MZ08	Tete	
MZ09	Zambézia	
WA	NAMIBIA	
Scope Note: International territory. Formerly South-West Africa.		
district		
WA01	Bethanien	
WA03	Boesmanland	
WA02	Caprivi Oos	
WA22	Damaraland	
WA04	Gobabis	
WA05	Grootfontein	
WA23	Hereroland Oos	
WA24	Hereroland Wes	
WA06	Kaokoland	
WA20	Karasburg	
WA07	Karibib	
WA25	Kavango	
WA08	Keetmanshoop	
WA09	Lüderitz	
WA10	Maltahöhe	
WA26	Mariental	
WA27	Namaland	
WA11	Okahandja	
WA12	Omaruru	
WA13	Otjiwarongo	
WA14	Outjo	
WA15	Owambo	
WA16	Rehoboth	
WA17	Swakopmund	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
WA18	Tsumeb	
WA21	Windhoek	
NR	NAURU	
district		
NR01	Aiwo	
NR02	Anabar	
NR03	Anetan	
NR04	Anibare	
NR05	Baiti	
NR06	Boe	
NR07	Buada	
NR08	Denigomodu	
NR09	Ewa	
NR10	Ijuw	
NR11	Meneng	
NR12	Nibok	
NR13	Uaboe	
NR14	Yaren	
BQ	NAVASSA ISLAND	
Scope Note: U.S. territory.		
NP	NEPAL	
zone		
NP01	Bāgmatī	
NP02	Bherī	
NP03	Dhawalāgiri	
NP04	Gandakī	
NP05	Janakpur	
NP06	Karnāli	
NP07	Kosī	
NP08	Lumbinī	
NP09	Mahākāli	
NP10	Mechī	
NP11	Nārāyanī	
NP12	Rāpti	
NP13	Sagarmāthā	
NP14	Setī	
NL	NETHERLANDS	
Scope Note: Code NL pertains only to the Netherlands in Europe, thereby excluding the NETHERLANDS ANTILLES (NA).		
**administrative area		
*municipality/gemeente		
province/provincie		
NL01	Drenthe	
NL12	Dronten *	
NL02	Friesland	
NL03	Gelderland	
NL04	Groningen	
NL14	Lelystad *	
NL05	Limburg	
NL06	Noord-Brabant	
NL07	Noord-Holland	
NL08	Overijssel	
NL09	Utrecht	
NL10	Zeeland	
NL13	Zuidelijke IJsselmeerpolders **	
NL11	Zuid-Holland	
NA	NETHERLANDS ANTILLES	
Scope Note: Part of the Netherlands realm. Includes Bonaire, Curaçao, Saba, Sint Eustatius and southern Saint Martin.		
NC	NEW CALEDONIA	
Scope Note: Overseas territory of FRANCE (FR). Includes Île des Pins, Îles Loyauté, Île Huon, Îles Belép, Îles Chesterfield and Île Walpole.		
NZ	NEW ZEALAND	
Scope Note: Includes Stewart Island, Chatham Islands, and Kermadec Islands.		
county		
*district		
**town district		
NZ01	Akaroa	
NZ03	Amuri	
NZ04	Ashburton	
NZ07	Bay of Islands	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
NZ08	Bruce	
NZ09	Buller	
NZ10	Chatham Islands	
NZ11	Cheviot	
NZ12	Clifton	
NZ13	Clutha	
NZ14	Cook	
NZ16	Dannevirke	
NZ17	Egmont	
NZ18	Eketahuna	
NZ19	Ellesmere	
NZ20	Eltham	
NZ21	Eyre	
NZ22	Featherston	
NZ24	Franklin	
NZ26	Golden Bay	
NZ27	Great Barrier Island	
NZ28	Grey	
NZ29	Hauraki Plains	
NZ30	Hawera *	
NZ31	Hawke's Bay	
NZ32	Heathcote	
NZD9	Hikurangi **	
NZ33	Hobson	
NZ34	Hokianga	
NZ35	Horowhenua	
NZD4	Hurunui	
NZ36	Hutt	
NZ37	Inangahua	
NZ38	Inglewood	
NZ39	Kaikoura	
NZ40	Kairanga	
NZ41	Kiwitea	
NZ43	Lake	
NZ45	Mackenzie	
NZ46	Malvern	
NZE1	Manaia **	
NZ47	Manawatu	
NZ48	Mangonui	
NZ49	Maniototo	
NZ50	Marlborough	
NZ51	Masterton	
NZ52	Matamata	
NZ53	Mount Herbert	
NZ54	Ohinemuri	
NZ55	Opotiki	
NZ56	Oroua	
NZ57	Otamatea	
NZ58	Otorohanga *	
NZ59	Oxford	
NZ60	Pahiatua	
NZ61	Paparua	
NZ63	Patea	
NZ65	Piako	
NZ66	Pohangina	
NZ67	Raglan	
NZ68	Rangiora *	
NZ69	Rangitikei	
NZ70	Rodney	
NZ71	Rotorua *	
NZE2	Runanga	
NZE3	Saint Kilda	
NZD5	Silverpeaks	
NZ72	Southland	
NZ73	Stewart Island	
NZ74	Stratford	
NZD6	Strathallan	
NZ76	Taranaki	
NZ77	Taumarunui	
NZ78	Taupo	
NZ79	Tauranga	
NZE4	Thames-Coromandel *	
NZ81	Tuapeka	
NZ82	Vincent	
NZ83	Waiapu	
NZD8	Waiheke	
NZ84	Waihemo	
NZ85	Waikato	
NZ86	Waikohu	
NZ88	Waimairi	
NZ89	Waimarino	
NZ90	Waimate	
NZ91	Waimate West	
NZ92	Waimea	
NZ93	Waipa	
NZ95	Waipawa *	
NZ96	Waipukurau *	
NZ97	Wairarapa South	
NZ98	Wairewa	
NZ99	Wairoa	
NZA4	Waitaki	
NZA6	Waitomo *	
NZA8	Waitotara	
NZA9	Wallace	
NZB2	Wanganui	
NZE5	Waverley **	
NZB3	Westland	
NZB4	Whakatane *	
NZA1	Whangarei	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
NZA2	Whangaroa	
NZA3	Woodville	
NU	NICARAGUA	
Scope Note:	Includes Islas del Maíz [Corn Islands].	
department/departamento		
NU01	Boaco	
NU02	Carazo	
NU03	Chinandega	
NU04	Chontales	
NU05	Estelí	
NU06	Granada	
NU07	Jinotega	
NU08	León	
NU09	Madriz	
NU10	Managua	
NU11	Masaya	
NU12	Matagalpa	
NU13	Nueva Segovia	
NU14	Río San Juan	
NU15	Rivas	
NU16	Zelaya	
NG	NIGER	*
department/département		
NG01	Agadez	
NG02	Diffa	
NG03	Dosso	
NG04	Maradi	
NG05	Niamey	
NG06	Tahoua	
NG07	Zinder	
NI	NIGERIA	
state		
*territory		
NI02	Anambra	
NI06	Bauchi	
NI07	Bendel	
NI01	Benue	
NI08	Borno	
NI09	Cross River	
NI11	Federal Capital Territory *	
NI12	Gongola	
NI13	Imo	
NI14	Kaduna	
NI03	Kano	
NI04	Kwara	
NI05	Lagos	
NI15	Niger	
NI16	Ogun	
NI17	Ondo	
NI18	Oyo	
NI19	Plateau	
NI10	Rivers	
NI20	Sokoto	
NE	NIUE	
Scope Note:	New Zealand territory.	
NF	NORFOLK ISLAND	
Scope Note:	Australian external territory.	
CQ	NORTHERN MARIANA ISLANDS	
Scope Note:	Commonwealth Associated with the United States	
NO	NORWAY	*
Scope Note:	Code NO pertains only to continental Norway, thereby excluding JAN MAYEN (JN) and SVALBARD (SV), which are insular administrative divisions of Norway.	
province/fylke		
NO01	Akershus	
NO02	Aust-Agder	
NO04	Buskerud	
NO05	Finnmark	
NO06	Hedmark	
NO07	Hordaland	
NO08	Møre og Romsdal	
NO09	Nordland	
NO10	Nord-Trøndelag	
NO11	Oppland	
NO12	Oslo	
NO13	Østfold	
NO14	Rogaland	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
NO15	Sogn og Fjordane	
NO16	Sør-Trøndelag	
NO17	Telemark	
NO18	Troms	
NO19	Vest-Agder	
NO20	Vestfold	
MU	OMAN	
Scope Note: Includes Khuriyrā Muriyrā.		
PK	PAKISTAN	
Scope Note: Includes Pakistani administered Jammu and Kashmir.		
province		
*territory		
PK02	Baluchistān	
PK01	Federally Administered Tribal Areas *	
PK03	North-West Frontier	
PK04	Punjab	
PK05	Sind	
LQ	PALMYRA ATOLL	
Scope Note: U.S. territory.		
PM	PANAMA	
Scope Note: Includes area formerly known as Canal Zone.		
*intendancy/intendencia		
province/provincia		
PM01	Bocas del Toro	
PM02	Chiriquí	
PM03	Coclé	
PM04	Colón	
PM05	Darién	
PM06	Herrera	
PM07	Los Santos	
PM08	Panamá	
PM09	San Blas *	
PM10	Veraguas	
PP	PAPUA NEW GUINEA	
Scope Note: Includes Bismarck Archipelago (Admiralty Islands, New Britain, New Ireland, etc.), Louisiade Archipelago, D'Entrecasteaux Islands, northern Solomon Islands (Bougainville, Buka Island,etc.), Trobriand Islands and Woodlark Island.		
province		
PP01	Central	
PP08	Chimbu	
PP09	Eastern Highlands	
PP10	East New Britain	
PP11	East Sepik	
PP19	Enga	
PP02	Gulf	
PP12	Madang	
PP13	Manus	
PP03	Milne Bay	
PP14	Morobe	
PP20	National Capital	
PP15	New Ireland	
PP04	Northern	
PP07	North Solomons	
PP05	Southern Highlands	
PP06	Western	
PP16	Western Highlands	
PP17	West New Britain	
PP18	Sandaun	
PF	PARACEL ISLANDS	
Scope Note: Disputed islands in the South China Sea.		
PA	PARAGUAY	
department/departamento		
PA18	Alto Paraguay	
PA01	Alto Paraná	
PA02	Amambay	
PA03	Boquerón	
PA04	Caaguazú	
PA05	Caazapá	
PA19	Canendiyú	
PA06	Central	
PA20	Chaco	
PA07	Concepción	
PA08	Cordillera	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
PA10	Guairá	
PA11	Itapúa	
PA12	Misiones	
PA13	Ñeembucú	
PA21	Nueva Asunción	
PA15	Paraguarí	
PA16	Presidente Hayes	
PA17	San Pedro	
PE	PERU	
*constitutional province/provincia constitucional department/departamento		
PE01	Amazonas	
PE02	Ancash	
PE03	Apurímac	
PE04	Arequipa	
PE05	Ayacucho	
PE06	Cajamarca	
PE07	Callao *	
PE08	Cusco	
PE09	Huancavelica	
PE10	Huánuco	
PE11	Ica	
PE12	Junín	
PE13	La Libertad	
PE14	Lambayeque	
PE15	Lima	
PE16	Loreto	
PE17	Madre de Dios	
PE18	Moquegua	
PE19	Pasco	
PE20	Piura	
PE21	Puno	
PE22	San Martín	
PE23	Tacna	
PE24	Tumbes	
PE25	Ucayali	
RP	PHILIPPINES	
*chartered city province		
RP01	Abra	
RP02	Agusan del Norte	
RP03	Agusan del Sur	
RP04	Aklan	
RP05	Albay	
RPA1	Angeles *	
RP06	Antique	
RPA2	Bacolod *	
RPA3	Bago *	
RPA4	Baguio *	
RPA5	Bais *	
RP22	Basilan	
RPA6	Basilan City *	
RP07	Bataan	
RP08	Batanes	
RP09	Batangas	
RPA7	Batangas City *	
RP10	Benguet	
RP11	Bohol	
RP12	Bukidnon	
RP13	Bulacan	
RPA8	Butuan *	
RPA9	Cabanatuan *	
RPB1	Cadiz *	
RP14	Cagayan	
RPB2	Cagayan de Oro *	
RPB3	Calbayog *	
RPB4	Caloocan *	
RP15	Camarines Norte	
RP16	Camarines Sur	
RP17	Camiguin	
RPB5	Canlaon *	
RP18	Capiz	
RP19	Catanduanes	
RP20	Cavite	
RPB6	Cavite City *	
RP21	Cebu	
RPB7	Cebu City *	
RPB8	Cotabato *	
RPB9	Dagupan *	
RPC1	Danao *	
RPC2	Dapitan *	
RP24	Davao	
RPC3	Davao City *	
RP25	Davao del Sur	
RP26	Davao Oriental	
RPC4	Dipolog *	
RPC5	Dumaguete *	
RP23	Eastern Samar	
RPC6	General Santos *	
RPC7	Gingoog *	
RP27	Ifugao	
RPC8	Iligan *	
RP28	Ilocos Norte	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
RP29	Ilocos Sur	
RP30	Iloilo	
RPC9	Iloilo City •	
RPD1	Iriga •	
RP31	Isabela	
RP32	Kalinga-Apayao	
RPD2	La Carlota •	
RP33	Laguna	
RP34	Lanao del Norte	
RP35	Lanao del Sur	
RPD3	Laoag •	
RPD4	Lapu-Lapu •	
RP36	La Union	
* RPD5	Legaspi *	
RP37	Leyte	
RPD6	Lipa •	
RPD7	Lucena •	
RP56	Maguindanao	
RPD8	Mandaue •	
RPD9	Manila •	
RPE1	Marawi •	
RP38	Marinduque	
RP39	Masbate	
RP40	Mindoro Occidental	
RP41	Mindoro Oriental	
RP42	Misamis Occidental	
RP43	Misamis Oriental	
RP44	Mountain	
RPE2	Naga •	
RPH3	Negros Occidental	
RP46	Negros Oriental	
RP57	North Cotabato	
RP67	Northern Samar	
RP47	Nueva Ecija	
RP48	Nueva Vizcaya	
RPE3	Olongapo •	
RPE4	Ormoc •	
RPE5	Oroquieta •	
RPE6	Ozamis*	
RPE7	Pagadian •	
RP49	Palawan	
RPE8	Palayan •	
RP50	Pampanga	
RP51	Pangasinan	
RPE9	Pasay •	
RPF1	Puerto Princesa •	
RP52	Quezon	
RPF2	Quezon City •	
RP68	Quirino	
RP53	Rizal	
RP54	Romblon	
RPF3	Roxas •	
RP55	Samar	
RPF4	San Carlos, Negros Occidental •	
RPF5	San Carlos, Pangasinan •	
RPF6	San Jose •	
RPF7	San Pablo •	
RPF8	Silay •	
RP69	Siquijor	
RP58	Sorsogon	
RP70	South Cotabato	
RP59	Southern Leyte	
RP71	Sultan Kudarat	
RP60	Sulu	
RPF9	Surigao •	
RP61	Surigao del Norte	
RP62	Surigao del Sur	
RPG1	Tacloban •	
RPG2	Tagaytay •	
RPG3	Tagbilaran •	
RPG4	Tangub •	
RP63	Tarlac	
RP72	Tawitawi	
RPG5	Toledo •	
RPG6	Trece Martires •	
RP64	Zambales	
RPG7	Zamboanga •	
RP65	Zamboanga del Norte	
RP66	Zamboanga del Sur	

PC PITCAIRN ISLANDS

Scope Note: British dependency. Includes Henderson Island, Ducie and Oeno Atolls.

PL POLAND

Scope Note: Includes Danzig and areas of 1937 Germany east of the Oder-Neisse Line.

province/województwo

PL23	Biała Podlaska
PL24	Białystok
PL25	Bielsko
PL26	Bydgoszcz
PL27	Chełm
PL28	Ciechanów
PL29	Częstochowa
PL30	Elbląg

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued (18-Va:7)

Code	*Name*	*(Conventional Names) [Former Names]*
PL31	Gdańsk	
PL32	Gorzów	
PL33	Jelenia Góra	
PL34	Kalisz	
PL35	Katowice	
PL36	Kielce	
PL37	Konin	
PL38	Koszalin	
PL39	Kraków	
PL40	Krosno	
PL41	Legnica	
PL42	Leszno	
PL43	Łódź	
PL44	Łomża	
PL45	Lublin	
PL46	Nowy Sącz	
PL47	Olsztyn	
PL48	Opole	
PL49	Ostrołęka	
PL50	Piła	
PL51	Piotrków	
PL52	Płock	
PL53	Poznań	
PL54	Przemyśl	
PL55	Radom	
PL56	Rzeszów	
PL57	Siedlce	
PL58	Sieradz	
PL59	Skierniewice	
PL60	Słupsk	
PL61	Suwałki	
PL62	Szczecin	
PL63	Tarnobrzeg	
PL64	Tarnów	
PL65	Toruń	
PL66	Wałbrzych	
PL67	Warszawa	
PL68	Włocławek	
PL69	Wrocław	
PL70	Zamość	
PL71	Zielona Góra	
PO	PORTUGAL	

Scope Note: Includes the Azores and Madeira Islands.

district/distrito

PO01	Angra do Heroísmo	
PO02	Aveiro	
PO03	Beja	
PO04	Braga	
PO05	Bragança	
PO06	Castelo Branco	
PO07	Coimbra	
PO08	Évora	
PO09	Faro	
PO10	Funchal	
PO11	Guarda	
PO12	Horta	
PO13	Leiria	
PO14	Lisboa	
PO15	Ponta Delgada	
PO16	Portalegre	
PO17	Porto	
PO18	Santarém	
PO19	Setúbal	
PO20	Viana do Castelo	
PO21	Vila Real	
PO22	Viseu	
RQ	PUERTO RICO	

Scope Note: Commonwealth associated with the UNITED STATES (US).

QA	QATAR	
RE	REUNION	

Scope Note: Overseas department of FRANCE (FR). Excludes BASSAS DA INDIA (BS), EUROPA ISLAND (EU), GLORIOSO ISLANDS (GO) (Iles Glorieuses), JUAN DE NOVA ISLAND (JU), and TROMELIN ISLAND (TE).

RO	ROMANIA	

county/judeţ
*municipality/municipiu

RO01	Alba	
RO02	Arad	
RO03	Argeş	
RO04	Bacău	
RO05	Bihor	
RO06	Bistriţa-Năsăud	
RO07	Botoşani	
RO08	Brăila	
RO09	Braşov	

TABLE 1. Geopolitical Entities and Their Codes--Continued

Code	*Name*	*(Conventional Names) [Former Names]*
RO10	Bucureşti *	✱
RO11	Buzău	
RO41	Călăraşi	
RO12	Caraş-Severin	
RO13	Cluj	
RO14	Constanţa	
RO15	Covasna	
RO16	Dîmboviţa	
RO17	Dolj	
RO18	Galaţi	
RO19	Gorj	
RO42	Giurgiu	
RO20	Harghita	
RO21	Hunedoara	
RO22	Ialomiţa	
RO23	Iaşi	
RO25	Maramureş	
RO26	Mehedinţi	
RO27	Mureş	
RO28	Neamţ	
RO29	Olt	
RO30	Prahova	
RO31	Sălaj	
RO32	Satu Mare	
RO33	Sibiu	
RO34	Suceava	
RO35	Teleorman	
RO36	Timiş	
RO37	Tulcea	
RO38	Vaslui	
RO39	Vîlcea	
RO40	Vrancea	
RW	RWANDA	
	prefecture/préfecture (French), prefegitura (Kinyarwanda)	
RW01	Butare	
RW02	Byumba	
RW03	Cyangugu	
RW04	Gikongoro	
RW05	Gisenyi	
RW06	Gitarama	
RW07	Kibungo	
RW08	Kibuye	
RW09	Rigali	
RW10	Ruhengeri	
SC	ST. KITTS AND NEVIS	✱
	Scope Note: Became independent on September 19, 1983.	
	parish	
SC01	Christ Church Nichola Town	
SC02	Saint Anne Sandy Point	
SC03	Saint George Basseterre	
SC04	Saint George Gingerland	
SC05	Saint James Windward	
SC06	Saint John Capisterre	
SC07	Saint John Figtree	
SC08	Saint Mary Cayon	
SC09	Saint Paul Capisterre	
SC10	Saint Paul Charlestown	
SC11	Saint Peter Basseterre	
SC12	Saint Thomas Lowland	
SC13	Saint Thomas Middle Island	
SC15	Trinity Palmetto Point	
SH	ST. HELENA	
	*administrative area dependency	
	Scope Note: British colony. Includes Gough Island, Inaccessible Island, and Nightingale Island.	
SH01	Ascension *	
SH02	Saint Helena	
SH03	Tristan da Cunha	
ST	ST. LUCIA	
	quarter	
ST01	Anse-la-Raye	
ST03	Castries	
ST04	Choiseul	
ST02	Dauphin	
ST05	Dennery	
ST06	Gros-Islet	
ST07	Laborie	
ST08	Micoud	
ST11	Praslin	
ST09	Soufrière	
ST10	Vieux-Fort	

✱ Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
SB	ST. PIERRE AND MIQUELON	
Scope Note: Overseas department of FRANCE (FR).		
VC	ST. VINCENT AND THE GRENADINES	
Scope Note: Includes the northern Grenadines.		
parish		
VC01	Charlotte	*
VC06	Grenadines	
VC02	Saint Andrew	
VC03	Saint David	
VC04	Saint George	
VC05	Saint Patrick	
SM	SAN MARINO	
municipality/castello		
SM01	Acquaviva	
SM06	Borgo Maggiore	
SM02	Chiesanuova	
SM03	Domagnano	
SM04	Faetano	
SM05	Fiorentino	
SM08	Monte Giardino	
SM07	San Marino	
SM09	Serravalle	
TP	SAO TOME AND PRINCIPE	
district/concelho		
TP01	Príncipe	
TP02	São Tomé	
SA	SAUDI ARABIA	
emirate/minṭaqah		
SA02	Al Bāḥah	
SA15	Al Ḥudūd ash Shamāliyah	
SA03	Al Jawf	
SA05	Al Madīnah	
SA08	Al Qaṣīm	
SA09	Al Qurayyāt	
SA10	Ar Riyāḍ	
SA06	Ash Sharqīyah	
SA11	'Asīr	
SA13	Ḥā'il	
SA17	Jīzān	
SA14	Makkah	
SA16	Najrān	
SA19	Tabūk	
SG	SENEGAL	
region/région		
SG01	Dakar	
SG03	Diourbel	
SG04	Saint-Louis	
SG08	Louga	
SG05	Tambacounda	
SG07	Thies	
SG09	Fatick	
SG10	Kaolack	
SG11	Kolda	
SG12	Ziguinchor	
SE	SEYCHELLES	
Scope Note: Includes Aldabra Islands, Alphonse, Bijoutier, and St. François islands, Amirante Isles, Cosmoledo Group, Farquhar Group, Île Desroches and St. Pierre Islet.		
SL	SIERRA LEONE	
province		
SL01	Eastern	
SL02	Northern	
SL03	Southern	
SL04	Western Area	
SN	SINGAPORE	
BP	SOLOMON ISLANDS	
Scope Note: Includes southern Solomon Islands (primarily Guadalcanal, Malaita, San Cristobal, Santa Isabel, and Choiseul) and Santa Cruz Islands. Northern Solomon Islands constitute part of PAPUA NEW GUINEA (PP).		
district		
BP05	Central	*

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*	*Code*	*Name*	*(Conventional Names) [Former Names]*
* BP06	Guadalcanal				
BP07	Isabel				
BP08	Makira				
BP09	Temotu				

* Revised

TABLE 1. Geopolitical Entities and Their Codes--Continued

Code	Name	(Conventional Names) [Former Names]
BP03	Malaita	
BP04	Western	
SO	SOMALIA	
region/gobolka		
SO01	Bakool	
SO02	Banaadir	
SO03	Bari	
SO04	Bay	
SO05	Galguduud	
SO06	Gedo	
SO07	Hiiraan	
SO08	Jubbada Dhexe	
SO09	Jubbada Hoose	
SO10	Mudug	
SO11	Nugaal	
SO12	Sanaag	
SO13	Shabeellaha Dhexe	
SO14	Shabeellaha Hoose	
SO15	Togdheer	
SO16	Woqooyi Galbeed	
SF	SOUTH AFRICA	
Scope Note: Includes Walvis Bay, Marion Island, and Prince Edward Island.		
province		
SF01	Cape Province	
SF02	Natal	
SF03	Orange Free State	
SF04	Transvaal	
SP	SPAIN	
Scope Note: Includes the Balearic Islands, the Canary Islands, Ceuta, Melilla, Islas Chafarinas, Peñón de Alhucemas, and Peñón de Vélez de la Gomera.		
province/provincia		
SP01	Álava	
SP02	Albacete	
SP03	Alicante	
SP04	Almería	
SP05	Ávila	
SP06	Badajoz	
SP07	Baleares	
SP08	Barcelona	
SP09	Burgos	
SP10	Cáceres	
SP11	Cádiz	
SP12	Castellón	
SP13	Ciudad Real	
SP14	Córdoba	
SP15	Cuenca	
SP16	Gerona	
SP17	Granada	
SP18	Guadalajara	
SP19	Guipúzcoa	
SP20	Huelva	
SP21	Huesca	
SP22	Jaén	
SP23	La Coruña	
SP24	Las Palmas	
SP25	León	
SP26	Lérida	
SP27	Logroño	
SP28	Lugo	
SP29	Madrid	
SP30	Málaga	
SP31	Murcia	
SP32	Navarra	
SP33	Orense	
SP34	Oviedo	
SP35	Palencia	
SP36	Pontevedra	
SP37	Salamanca	
SP38	Santa Cruz de Tenerife	
SP39	Santander	
SP40	Segovia	
SP41	Sevilla	
SP42	Soria	
SP43	Tarragona	
SP44	Teruel	
SP45	Toledo	
SP46	Valencia	
SP47	Valladolid	
SP48	Vizcaya	
SP49	Zamora	
SP50	Zaragoza	
PG	SPRATLY ISLANDS	
Scope Note: Disputed islands in the South China Sea.		

(18-Va:7)

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
CE	**SRI LANKA**	
district		
CE01	Amparai	
CE02	Anuradhapura	
* CE03	Badulla	
CE04	Batticaloa	
CE23	Colombo	
CE06	Galle	
CE07	Hambantota	
CE25	Jaffna	
CE09	Kalutara	
CE10	Kandy	
CE11	Kegalla	
CE12	Kurunegala	
CE26	Mannar	
CE14	Matale	
CE15	Matara	
CE16	Moneragala	
CE17	Nuwara Eliya	
CE18	Polonnaruwa	
CE19	Puttalam	
CE20	Ratnapura	
CE21	Trincomalee	
CE28	Vavuniya	
CE24	Gampaha	
CE27	Mullaittivu	
SU	**SUDAN**	
region/iqlim		
SU26	A'āli an Nil	
SU27	Al Awsaţ	
SU28	Al Istiwā'i	
SU29	Al Kharţūm	
SU30	Ash Shamāli	
SU31	Ash Sharqī	
SU32	Baḥr al Ghazāl	
SU33	Dārfūr	
SU34	Kurdufān	
NS	**SURINAME**	
district/Distrikt		
NS10	Brokopondo	
NS11	Commevijne	
NS12	Coronie	
NS13	Marowijne	
NS14	Nickerie	
NS15	Para	
NS16	Paramaribo	
NS17	Saramacca	
NS18	Sipaliwini	
NS19	Wanica	
SV	**SVALBARD**	

Scope Note: Insular administrative division of NORWAY (NO). Includes Spitsbergen and Bjørnøya.

WZ	**SWAZILAND**	
district		
WZ01	Hhohho	
WZ02	Lubombo	
WZ03	Manzini	
WZ04	Shiselweni	
SW	**SWEDEN**	
*city/stad		
province/län		
SW01	Älvsborgs Län	
SW02	Blekinge Län	
SW03	Gävleborgs Län	
SW04	Göteborgs och Bohus Län	
SW05	Gotlands Län	
SW06	Hallands Län	
SW07	Jämtlands Län	
SW08	Jönköpings Län	
SW09	Kalmar Län	
SW10	Kopparbergs Län	
SW11	Kristianstads Län	
SW12	Kronobergs Län	
SW13	Malmöhus Län	
SW14	Norrbottens Län	
SW15	Örebro Län	
SW16	Östergötlands Län	
SW17	Skaraborgs Län	
SW18	Södermanlands Län	
SW26	Stockholms Lan	
SW21	Uppsala Län	*
SW22	Värmlands Län	
SW23	Västerbottens Län	
SW24	Västernorrlands Län	
SW25	Västmanlands Län	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
SZ	SWITZERLAND	
canton/canton (French), cantone (Italian), kanton (German)		
SZ01	Aargau	
SZ02	Ausser-Rhoden	
SZ03	Basel-Landschaft	
SZ04	Basel-Stadt	
SZ05	Bern	
SZ06	Fribourg	
SZ07	Genève	
SZ08	Glarus	
SZ09	Graubünden	
SZ10	Inner-Rhoden	
SZ26	Jura	
SZ11	Luzern	
SZ12	Neuchâtel	
SZ13	Nidwalden	
SZ14	Obwalden	
SZ15	Sankt Gallen	
SZ16	Schaffhausen	
SZ17	Schwyz	
SZ18	Solothurn	
SZ19	Thurgau	
SZ20	Ticino	
SZ21	Uri	
SZ22	Valais	
SZ23	Vaud	
SZ24	Zug	
SZ25	Zürich	
SY	SYRIA	
province/muḥāfaẓah		
SY01	Al Ḥasakah	
SY02	Al Lādhiqīyah	
SY03	Al Qunayṭirah	
SY04	Ar Raqqah	
SY05	As Suwaydā'	
SY06	Dar'ā	
SY07	Dayr az Zawr	
SY08	Dimashq	
SY09	Ḥalab	
SY10	Ḥamāh	
SY11	Ḥimṣ	
SY12	Idlib	
SY13	Madīnat Dimashq	
SY14	Ṭarṭūs	
TZ	TANZANIA, UNITED REPUBLIC OF	
region		
TZ01	Arusha	
TZ23	Dar es Salaam	
TZ03	Dodoma	
TZ04	Iringa	
TZ05	Kigoma	
TZ06	Kilimanjaro	
TZ07	Lindi	
TZ08	Mara	
TZ09	Mbeya	
TZ10	Morogoro	
TZ11	Mtwara	
TZ12	Mwanza	
TZ13	Pemba North	
TZ20	Pemba South	
TZ02	Pwani	
TZ24	Rukwa	
TZ14	Ruvuma	
TZ15	Shinyanga	
TZ16	Singida	
TZ17	Tabora	
TZ18	Tanga	
TZ21	Zanzibar Central/South	
TZ22	Zanzibar North	
TZ25	Zanzibar Urban/West	
TZ19	Ziwa Magharibi	
TH	THAILAND	
*municipality province		
TH35	Ang Thong	
TH28	Buriram	
TH44	Chachoengsao	
TH32	Chai Nat	
TH26	Chaiyaphum	
TH48	Chanthaburi	
TH02	Chiang Mai	
TH03	Chiang Rai	
TH46	Chon Buri	
TH58	Chumphon	
TH23	Kalasin	
TH11	Kamphaeng Phet	
TH50	Kanchanaburi	
TH22	Khon Kaen	
TH63	Krabi	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
TH40	Krung Thep •	
TH06	Lampang	
TH05	Lamphun	
TH18	Loei	
TH34	Lop Buri	
TH01	Mae Hong Son	
TH24	Maha Sarakham	
TH43	Nakhon Nayok	
TH53	Nakhon Pathom	
TH21	Nakhon Phanom	
TH27	Nakhon Ratchasima	
TH16	Nakhon Sawan	
TH64	Nakhon Si Thammarat	
TH04	Nan	
TH31	Narathiwat	
TH17	Nong Khai	
TH38	Nonthaburi	
TH39	Pathum Thani	
TH69	Pattani	
TH61	Phangnga	
TH66	Phatthalung	
TH41	Phayao	
TH14	Phetchabun	
TH56	Phetchaburi	
TH13	Phichit	
TH12	Phitsanulok	
TH36	Phra Nakhon Si Ayutthaya	
TH07	Phrae	
TH62	Phuket	
TH45	Prachin Buri	
TH57	Prachuap Khiri Khan	
TH59	Ranong	
TH52	Ratchaburi	
TH47	Rayong	
TH25	Roi Et	
TH20	Sakon Nakhon	
TH42	Samut Prakan	
TH55	Samut Sakhon	
TH54	Samut Songkhram	
TH37	Saraburi	
TH67	Satun	
TH33	Sing Buri	
TH30	Sisaket	
TH68	Songkhla	
TH09	Sukhothai	
TH51	Suphan Buri	
TH60	Surat Thani	
TH29	Surin	
TH08	Tak	
TH65	Trang	
TH49	Trat	
TH71	Ubon Ratchathani	
TH19	Udon Thani	
TH15	Uthai Thani	
TH10	Uttaradit	
TH70	Yala	
TH72	Yasothon	
TO	TOGO	
circumscription/circonscription		
TO01	Amlamé	
TO02	Aného	
TO03	Atakpamé	
TO15	Badou	
TO04	Bafilo	
TO05	Bassar	
TO06	Dapaong	
TO07	Kanté	
TO08	Klouto	
TO14	Kpagouda	
TO09	Lama-Kara	
TO10	Lomé	
TO11	Mango	
TO12	Niamtougou	
TO13	Notsé	
TO16	Sotouboua	
TO17	Tabligbo	
TO19	Tchamba	
TO20	Tchaoudjo	
TO18	Tsévié	
TO21	Vogan	
TL	TOKELAU	

Scope Note: New Zealand island territory. On December 2, 1980, the United States Government signed a "Delimitation of Maritime Boundary" treaty with New Zealand for Tokelau. Under provisions of the treaty the U.S. relinquishes its claims to the following atolls: Atafu, Fakaofu, and Nukunonu. The treaty was ratified by the U.S. Senate in June, 1983.

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
TN	TONGA	
island group		
TN01	Ha'apai	
TN02	Tongatapu	
TN03	Vava'u	
TD	TRINIDAD AND TOBAGO	
county		
*municipality		
**ward		
TD01	Arima *	
TD02	Caroni	
TD03	Mayaro	
TD04	Nariva	
TD05	Port-of-Spain *	
TD06	Saint Andrew	
TD07	Saint David	
TD08	Saint George	
TD09	Saint Patrick	
TD10	San Fernando *	
TD11	Tobago **	
TD12	Victoria	
TE	TROMELIN ISLAND	
Scope Note:	French possession.	
* PS	TRUST TERRITORY OF THE PACIFIC ISLANDS	
administrative area		
Scope Note:	The Republic of Palau, U.S. administered. Includes the islands of Kayangel, Babelthaup, Peleliu, Koror, Angaur, Sonsorol, Pulo Anna, Merir, Tobi, and Helen.	
PS20	Marshall Islands	
PS25	Micronesia, Federated States of	
PS30	Palau	
TS	TUNISIA	
governorate/wilāyah		
TS14	Al Kāf	
TS15	Al Mahdiyah	
TS16	Al Munastir	
TS02	Al Qaşrayn	
TS03	Al Qayrawān	
TS17	Bājah	
TS18	Banzart	
TS06	Jundūbah	
TS28	Madanin	
TS19	Nabul	
TS29	Qabis	
TS10	Qafsah	
TS32	Safaqis	
TS33	Sidi Bu Zayd	
TS22	Silyanah	
TS23	Susah	
TS36	Tunis	
TS26	Aryanah	
TS27	Bin Arus	
TS31	Qibili	
TS34	Tatawin	
TS35	Tawzar	
TS37	Zaqhwan	
* TU	TURKEY	
province/ili		
TU01	Adana	
TU02	Adıyaman	
TU03	Afyon	
TU04	Ağrı	
TU05	Amasya	
TU06	Ankara	
TU07	Antalya	
TU08	Artvin	
TU09	Aydın	
TU10	Balıkesir	
TU11	Bilecik	
TU12	Bingöl	
TU13	Bitlis	
TU14	Bolu	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
TU15	Burdur	
TU16	Bursa	
TU17	Çanakkale	
TU18	Çankırı	
TU19	Çorum	
TU20	Denizli	
TU21	Diyarbakır	
TU22	Edirne	
TU23	Elazığ	
TU24	Erzincan	
TU25	Erzurum	
TU26	Eskişehir	
TU27	Gaziantep	
TU28	Giresun	
TU29	Gümüşhane	
TU30	Hakkâri	
TU31	Hatay	
TU32	İçel	
TU33	Isparta	
TU34	İstanbul	
TU35	İzmir	
TU46	Kahraman Maraş	
TU36	Kars	
TU37	Kastamonu	
TU38	Kayseri	*
TU39	Kırklareli	
TU40	Kırşehir	
TU41	Kocaeli	
TU42	Konya	
TU43	Kütahya	
TU44	Malatya	
TU45	Manisa	
TU47	Mardin	
TU48	Muğla	
TU49	Muş	
TU50	Nevşehir	
TU51	Niğde	
TU52	Ordu	
TU53	Rize	
TU54	Sakarya	
TU55	Samsun	
TU56	Siirt	
TU57	Sinop	
TU58	Sivas	
TU59	Tekirdağ	
TU60	Tokat	
TU61	Trabzon	
TU62	Tunceli	
TU63	Urfa	
TU64	Uşak	
TU65	Van	
TU66	Yozgat	
TU67	Zonguldak	

TK TURKS AND CAICOS ISLANDS

Scope Note: British Colony.

TV TUVALU

Scope Note: Includes the islands of Nanumanga, Nanumea, Nui, Niutao, Vaitupu, Funafuti, Nukufetau, Nukulailai, and Nurakita. The Governments of the United States and Tuvalu signed a "Treaty of Friendship" on February 7, 1979. Under provisions of the treaty, the United States relinquishes its claims to the following islands: Funafuti, Nukufetau, Nukulailai, and Nurakita. The treaty was ratified by the U. S. Senate in June, 1983.

UG UGANDA

province

UG05	Busoga	
UG08	Karamoja	
UG12	South Buganda	
UG18	Central	
UG20	Eastern	
UG21	Nile	
UG22	North Buganda	
UG23	Northern	
UG24	Southern	
UG25	Western	*

UR UNION OF SOVIET SOCIALIST REPUBLICS

Scope Note: Includes the de facto areas of Estonia, Latvia, Lithuania, southern Kuril Islands, Habomai Islands, and northern East Prussia.

*soviet federative socialist republic/sovetskaya federativnaya sotsialisticheskaya respublika
soviet socialist republic/sovetskaya sotsialisticheskaya respublika

UR01 Armyanskaya SSR
UR02 Azerbaydzhanskaya SSR

* Revised

TABLE 1. Geopolitical Entities and Their Codes -Continued

Code	Name	(Conventional Names) [Former Names]
UR03	Belorusskaya SSR	
UR04	Estonskaya SSR	
UR05	Gruzinskaya SSR	
UR06	Kazakhskaya SSR	
UR07	Kirgizskaya SSR	
UR08	Latviyskaya SSR	
UR09	Litovskaya SSR	
UR10	Moldavskaya SSR	
UR11	Rossiyskaya SFSR *	
UR12	Tadzhikskaya SSR	
UR13	Turkmenskaya SSR	
UR14	Ukrainskaya SSR	
UR15	Uzbekskaya SSR	
TC	UNITED ARAB EMIRATES	
emirate		
TC01	Abū ẓaby	
TC02	'Ajmān	
TC04	Al Fujayrah	
TC06	Ash Shāriqah	
TC03	Dubayy	
TC05	Ra's al Khaymah	
TC07	Umm al Qaywayn	
UK	UNITED KINGDOM	
(England: 01 through 46, inclusive)		
county *metropolitan county		
UK01	Avon	
UK02	Bedford	
UK03	Berkshire	
UK04	Buckingham	
UK05	Cambridge	
UK06	Chester	
UK07	Cleveland	
UK08	Cornwall	
UK09	Cumbria	
UK10	Derby	
UK11	Devon	
UK12	Dorset	
UK13	Durham	
UK14	East Sussex	
UK15	Essex	
UK16	Gloucester	
UK17	Greater London *	
UK18	Greater Manchester *	
UK19	Hampshire	
UK20	Hereford and Worcester	
UK21	Hertford	
UK22	Humberside	
UK23	Isle of Wight	
UK24	Kent	
UK25	Lancaster	
UK26	Leicester	
UK27	Lincoln	
UK28	Merseyside *	
UK29	Norfolk	
UK31	Northampton	
UK32	Northumberland	
UK30	North Yorkshire	
UK33	Nottingham	
UK34	Oxford	
UK35	Salop	
UK36	Somerset	
UK37	South Yorkshire *	
UK38	Stafford	
UK39	Suffolk	
UK40	Surrey	
UK41	Tyne and Wear *	
UK42	Warwick	
UK43	West Midlands *	
UK44	West Sussex	
UK45	West Yorkshire *	
UK46	Wiltshire	
(Northern Ireland: 52 through 77, inclusive)		
district		
UK52	Antrim	
UK53	Ards	
UK54	Armagh	
UK55	Ballymena	
UK56	Ballymoney	
UK57	Banbridge	
UK58	Belfast	
UK59	Carrickfergus	
UK60	Castlereagh	
UK61	Coleraine	
UK62	Cookstown	
UK63	Craigavon	
UK64	Down	
UK65	Dungannon	
UK66	Fermanagh	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
UK67	Larne	
UK68	Limavady	
UK69	Lisburn	
UK70	Londonderry	
UK71	Magherafelt	
UK72	Moyle	
UK73	Newry and Mourne	
UK74	Newtownabbey	
UK75	North Down	
UK76	Omagh	
UK77	Strabane	
(Scotland: 78 through 89, inclusive)		
•islands area region		
UK78	Borders	
UK79	Central	
UK80	Dumfries and Galloway	
UK81	Fife	
UK82	Grampian	
UK83	Highland	
UK84	Lothian	
UK85	Orkney •	
UK86	Shetland •	
UK87	Strathclyde	
UK88	Tayside	
UK89	Western Isles •	
(Wales: 90 through 97, inclusive)		
county		
UK90	Clwyd	
UK91	Dyfed	
UK92	Gwent	
UK93	Gwynedd	
UK94	Mid Glamorgan	
UK95	Powys	
UK96	South Glamorgan	
UK97	West Glamorgan	

Code	*Name*	*(Conventional Names) [Former Names]*
US	UNITED STATES	
Scope Note: Includes only the States and the District of Columbia; each outlying area is separately identified.		
•district state		
US01	Alabama	
US02	Alaska	
US04	Arizona	
US05	Arkansas	
US06	California	
US08	Colorado	
US09	Connecticut	
US10	Delaware	
US11	District of Columbia •	
US12	Florida	
US13	Georgia	
US15	Hawaii	
US16	Idaho	
US17	Illinois	
US18	Indiana	
US19	Iowa	
US20	Kansas	
US21	Kentucky	
US22	Louisiana	
US23	Maine	
US24	Maryland	
US25	Massachusetts	
US26	Michigan	
US27	Minnesota	
US28	Mississippi	
US29	Missouri	
US30	Montana	
US31	Nebraska	
US32	Nevada	
US33	New Hampshire	
US34	New Jersey	
US35	New Mexico	
US36	New York	
US37	North Carolina	
US38	North Dakota	
US39	Ohio	
US40	Oklahoma	
US41	Oregon	
US42	Pennyslvania	
US44	Rhode Island	
US45	South Carolina	
US46	South Dakota	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
US47	Tennessee	
US48	Texas	
US49	Utah	
US50	Vermont	
US51	Virginia	
US53	Washington	
US54	West Virginia	
US55	Wisconsin	
US56	Wyoming	
UY	URUGUAY	
department/departamento		
UY01	Artigas	
UY02	Canelones	
UY03	Cerro Largo	
UY04	Colonia	
UY05	Durazno	
UY06	Flores	
UY07	Florida	
UY08	Lavalleja	
UY09	Maldonado	
UY10	Montevideo	
UY11	Paysandú	
UY12	Río Negro	
UY13	Rivera	
UY14	Rocha	
UY15	Salto	
UY16	San José	
UY17	Soriano	
UY18	Tacuarembó	
UY19	Treinta y Tres	
NH	VANUATU	
Scope Note: Formerly New Hebrides. Became independent July 30, 1980.		
district		
NH01	Central District Number 1	
NH02	Central District Number 2	
NH03	Northern	
NH04	Southern	
VT	VATICAN CITY	
VE	VENEZUELA	
***federal dependencies/dependencias federales		
**federal district/distrito federal		
state/estado		
*territory/territorio		
VE01	Amazonas *	
VE02	Anzoátegui	
VE03	Apure	
VE04	Aragua	
VE05	Barinas	
VE06	Bolívar	
VE07	Carabobo	
VE08	Cojedes	
VE09	Delta Amacuro *	
VE24	Dependencias Federales ***	
VE10	Distrito Federal **	
VE11	Falcón	
VE12	Guárico	
VE13	Lara	
VE14	Mérida	
VE15	Miranda	
VE16	Monagas	
VE17	Nueva Esparta	
VE18	Portuguesa	
VE19	Sucre	
VE20	Táchira	
VE21	Trujillo	
VE22	Yaracuy	
VE23	Zulia	

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	*Name*	*(Conventional Names) [Former Names]*
VM	VIETNAM	
province/tỉnh		
VM01	An Giang	
VM02	Bắc Thái	
VM03	Bến Tre	
VM04	Bình Trị Thiên	
VM05	Cao Bằng	
VM06	Cửu Long	
VM07	Đắc Lắc	
* VM40	Dong Nai	
VM09	Đồng Tháp	
VM10	Gia Lai-Kon Tum	
VM11	Hà Bắc	
VM12	Hải Hưng	
VM13	Hải Phòng	
VM14	Hà Nam Ninh	
VM15	Hà Nội	
VM16	Hà Sơn Bình	
VM17	Hà Tuyên	
VM41	Hau Giang	*
VM19	Hoàng Liên Sơn	
VM20	Hồ Chí Minh	
VM21	Kiến Giang	
VM22	Lai Châu	
VM23	Lâm Đồng	
VM39	Lạng Sơn	
VM24	Long An	
VM25	Minh Hải	
VM26	Nghệ Tĩnh	
VM27	Nghĩa Bình	
VM28	Phú Khánh	
VM29	Quảng Nam-Đà Nẵng	
VM30	Quảng Ninh	
VM31	Sông Bé	
VM32	Sơn La	
VM33	Tây Ninh	
VM35	Thái Bình	
VM34	Thanh Hóa	
VM36	Thuận Hải	
VM37	Tiền Giang	
VM38	Vĩnh Phú	
VM42	Vung Tau-Con Dao	
VQ	VIRGIN ISLANDS	
Scope Note: U.S. territory.		

Code	*Name*	*(Conventional Names) [Former Names]*
WQ	WAKE ISLAND	
Scope Note: U.S. territory.		
WF	WALLIS AND FUTUNA	
Scope Note: Overseas territory of FRANCE (FR). Includes Îles de Horne, Île Uvéa, and Île Alofi.		
WE	WEST BANK	
Scope Note: All of the area west of the Jordan River under Jordanian administration before the 1967 Arab-Israeli war.		
WI	WESTERN SAHARA	
Scope Note: Formerly Spanish Sahara. Now under de facto control of Morocco.		
WS	WESTERN SAMOA	
district		
WS01	A'ana	
WS02	Aiga-i-le-Tai	
WS03	Atua	
WS04	Fa'asaleleaga	
WS05	Gaga'emauga	
WS07	Gagaifomauga	
WS08	Palauli	
WS09	Satupa'itea	
WS10	Tuamasaga	
WS06	Va'a-o-Fonoti	
WS11	Vaisigano	

* Revised

TABLE 1. Geopolitical Entities and Their Codes—Continued

Code	Name	(Conventional Names) [Former Names]
* YE	YEMEN(SANAA)	
	Scope Note: Comprises the former Yemen Arab Republic and the former People's Democratic Republic of Yemen.	
	governorate/muhafazah	
YM01	Abyan	
YM02	Adan	
YM03	Al Mahrah	
YM04	Hadramawt	
YM05	Shabwah	
YM06	Lahij	
YM07	Al Bayda	
YM08	Al Hudaydah	
YM09	Al Jawf	
YM10	Al Mahwit	
YM11	Dhamar	
YM12	Hajjah	
YM13	Ibb	
YM14	Ma'rib	
YM15	Sa'dah	
YM16	San'a	
YM17	Ta'izz *	
YO	YUGOSLAVIA	
	socialist republic/socijalistička republika	
YO01	Bosna i Hercegovina	
YO02	Crna Gora	
YO03	Hrvatska	
YO05	Makedonija	
YO06	Slovenija	
YO07	Srbija	
CG	ZAIRE	
	region/région	
	*town/ville	
CG01	Bandundu	
CG08	Bas-Zaïre	
CG02	Équateur	
CG09	Haut-Zaïre	
CG03	Kasai-Occidental	
CG04	Kasai-Oriental	
CG06	Kinshasa *	
CG07	Kivu	
CG05	Shaba	
ZA	ZAMBIA	
	province	
ZA02	Central	
ZA08	Copperbelt	
ZA03	Eastern	
ZA04	Luapula	
ZA09	Lusaka	
ZA05	Northern	
ZA06	North-Western	
ZA07	Southern	
ZA01	Western	
ZI	ZIMBABWE	
	Scope Note: Became independent April 18, 1980. Former British colony of Southern Rhodesia.	
	province	
ZI01	Manicaland	
ZI03	Mashonaland Central	
ZI04	Mashonaland East	
ZI05	Mashonaland West	
ZI06	Matabeleland North	
ZI07	Matabeleland South	
ZI02	Midlands	
ZI08	Victoria	
TW	TAIWAN	
	Scope Note: Includes island of Taiwan, and P'eng-hu Ch'ün-tao (Pescadores).	
	*municipality/shih	
	province/sheng	
TW01	Fu-chien	
TW02	Kao-hsiung *	
TW03	T'ai-pei *	
TW04	T'ai-wan	

* Revised

TABLE 2. **Basic Geopolitical Entities Sequenced by Country Code with Historical Records of Changes to Codes and Names**
NOTE: Codes currently in use are only those associated with entity names in capital letters.

Country Code	*Name and Change Description*	*Change Number*
AC	ANTIGUA AND BARBUDA: changed from Antigua (AC)	2-12-01
AF	AFGHANISTAN	
AG	ALGERIA	
AL	ALBANIA	
AN	ANDORRA	
AO	ANGOLA	
AQ	AMERICAN SAMOA	
AR	ARGENTINA	
AS	AUSTRALIA	
AT	ASHMORE AND CARTIER ISLANDS: added, separated from AUSTRALIA (AS)	2-12-02
AT	Ashmore and Cartier Islands: deleted, included in AUSTRALIA (AS)	2-00-21
AU	AUSTRIA	
AV	ANGUILLA: added, separated from St. Christopher-Nevis-Anguilla (SC)	1-00-01
AY	ANTARCTICA	
BA	BAHRAIN	
BB	BARBADOS	
BC	BOTSWANA	
BD	BERMUDA	
BE	BELGIUM	
BF	BAHAMAS, THE: changed from Bahamas (BF)	2-00-09
BG	BANGLADESH: added, separated from PAKISTAN (PK)	1-00-02
BH	BELIZE: changed from British Honduras (BH)	1-00-03
BL	BOLIVIA	
BM	BURMA	
BN	BENIN: added, replaced Benin (DM)	2-13-01
BP	SOLOMON ISLANDS: changed from British Solomon Islands (BP)	1-07-01
BQ	NAVASSA ISLAND: added, separated from U.S. Miscellaneous Caribbean Islands (BQ)	1-00-18
BQ	U.S. Miscellaneous Caribbean Islands: deleted, replaced by NAVASSA ISLAND (BQ) and other islands included in COLOMBIA (CO)	1-00-18
BR	BRAZIL	
BS	BASSAS DA INDIA: added, separated from REUNION (RE)	2-12-04
BT	BHUTAN	
BU	BULGARIA	
BV	BOUVET ISLAND: changed from Bouvetoya (BV)	2-04-02
BX	BRUNEI	
BY	BURUNDI	
BZ	GERMANY, BERLIN: added, replaced Germany, Berlin (WB)	2-00-22
CA	CANADA	
* CB	CAMBODIA: changed from Kampuchea (CB) *	2-05-01
CD	CHAD	
CE	SRI LANKA: changed from Ceylon (CE)	1-00-05
CF	CONGO: changed from Congo (Brazzaville) (CF)	1-00-08
CG	ZAIRE: changed from Congo (Kinshasa) (CG)	1-00-09
CH	CHINA: changed from China, Peoples Republic of (CH)	2-01-14
CH	China, Peoples Republic of: changed from China, Communist (CH)	1-00-06
CI	CHILE	
CJ	CAYMAN ISLANDS	
CK	COCOS (KEELING) ISLANDS: changed from Cocos Islands (CK)	1-00-07
CL	Central and Southern Line Islands: deleted, included in Gilbert and Ellice Islands (GN)	1-00-04
CM	CAMEROON	
CN	COMOROS: changed from Comoro Islands (CN)	2-00-10
CO	COLOMBIA	
CQ	NORTHERN MARIANA ISLANDS: added, separated from Trust Territory of the Pacific Islands (TQ)	2-03-01
CR	CORAL SEA ISLANDS: added, separated from AUSTRALIA (AS)	2-12-08
CR	Coral Sea Islands Territory: deleted, included in AUSTRALIA (AS)	2-00-23
CR	Coral Sea Islands Territory: added, separated from AUSTRALIA (AS)	1-00-10
CS	COSTA RICA	
CT	CENTRAL AFRICAN REPUBLIC: changed from Central African Empire (CT)	2-07-03
CT	Central African Empire: changed from Central African Republic (CT)	2-00-20
CU	CUBA	
CV	CAPE VERDE: changed from Cape Verde, Republic of (CV)	2-12-05
CV	Cape Verde, Republic of: changed from Cape Verde (CV)	1-08-01
CW	COOK ISLANDS	
CY	CYPRUS	
CZ	CZECHOSLOVAKIA	
DA	DENMARK	
DJ	DJIBOUTI: added, replaced French Territory of the Afars and Issas (FT)	2-01-01
DM	Benin: deleted, replaced by BENIN (BN)	2-13-01
DM	Benin: changed from Dahomey (DM)	1-12-01
DO	DOMINICA	
DQ	JARVIS ISLAND: added, separated from U.S. Miscellaneous Pacific Islands (IQ)	2-12-14
DR	DOMINICAN REPUBLIC	
EC	ECUADOR	
EG	EGYPT: changed from United Arab Republic (EG)	1-00-11
EI	IRELAND	
EK	EQUATORIAL GUINEA	
EQ	Canton and Enderbury Islands: deleted, included in KIRIBATI (KR)	2-07-02
ES	EL SALVADOR	
ET	ETHIOPIA	
EU	EUROPA ISLAND: added, separated from REUNION (RE)	2-12-09
FA	FALKLAND ISLANDS (ISLAS MALVINAS): changed from Falkland Islands (FA)	1-00-12
FG	FRENCH GUIANA	
FI	FINLAND	
FJ	FIJI	
FO	FAROE ISLANDS: changed from Faeroe Islands (FO)	2-00-11

* Revised

TABLE 2. Basic Geopolitical Entities Sequenced by Country Code with Historical Records of Changes to Codes and Names — Continued
NOTE: Codes currently in use are only those associated with entity names in capital letters.

Country Code	Name and Change Description	Change Number
FP	FRENCH POLYNESIA	
FQ	BAKER ISLAND: added, separated from U.S. Miscellaneous Pacific Islands (IQ)	2-12-03
FR	FRANCE	
FS	FRENCH SOUTHERN AND ANTARCTIC LANDS	
FT	French Territory of the Afars and Issas: deleted, replaced by DJIBOUTI (DJ)	2-01-01
GA	GAMBIA, THE: changed from Gambia (GA)	2-00-01
GB	GABON	
GC	GERMAN DEMOCRATIC REPUBLIC: changed from Germany, Soviet Zone of (GC)	1-00-13
GE	GERMANY, FEDERAL REPUBLIC OF	
GH	GHANA	
GI	GIBRALTAR	
GJ	GRENADA	
* GK	GUERNSEY: added, separated from UNITED KINGDOM (UK)	2-12-11
GL	GREENLAND	
GM	GERMANY: added, replaced Germany, Federal Republic of (GE), German Democratic Republic (GC), and Germany, Berlin (BZ)	
GN	Gilbert and Ellice Islands: deleted, replaced by TUVALU (TV) and Gilbert Islands (GS) *	1-11-01
GO	GLORIOSO ISLANDS: added, separated from REUNION (RE)	2-12-10
GP	GUADELOUPE	
GQ	GUAM	
GR	GREECE	
GS	Gilbert Islands: deleted, replaced by KIRIBATI (KR)	2-07-01
GS	Gilbert Islands: added, separated from Gilbert and Ellice Islands (GN)	1-11-01
GT	GUATEMALA	
GV	GUINEA	
GY	GUYANA	
GZ	GAZA STRIP	
HA	HAITI	
HK	HONG KONG	
HM	HEARD ISLAND AND MCDONALD ISLANDS (HM): changed from Heard and McDonald Islands (HM)	1-00-15
HO	HONDURAS	
HQ	HOWLAND ISLAND: added, separated from U.S. Miscellaneous Pacific Islands (IQ)	2-12-12
HU	HUNGARY	
IC	ICELAND	
ID	INDONESIA	
IM	MAN, ISLE OF: added, separated from UNITED KINGDOM (UK)	2-12-18
IN	INDIA	
IO	BRITISH INDIAN OCEAN TERRITORY	
IP	CLIPPERTON ISLAND: added, separated from FRENCH POLYNESIA (FP)	2-12-07
IQ	U.S. Miscellaneous Pacific Islands: deleted, replaced by BAKER ISLAND (FQ), HOWLAND ISLAND (HQ), JARVIS ISLAND (DQ), KINGMAN REEF (KQ), and PALMYRA ATOLL (LQ)	2-12-23
IR	IRAN	
IS	ISRAEL	
IT	ITALY	
IU	Israel-Syria Demilitarized Zone: deleted, included in ISRAEL (IS)	2-00-17
IV	IVORY COAST	
IW	Israel-Jórdan Demilitarized Zone: deleted, included in ISRAEL (IS)	2-00-16
IY	IRAQ-SAUDI ARABIA NEUTRAL ZONE	
IZ	IRAQ	
JA	JAPAN	
JE	JERSEY: added, separated from UNITED KINGDOM (UK)	2-12-15
JM	JAMAICA	
JN	JAN MAYEN: added, separated from Svalbard and Jan Mayen (JS)	2-12-13
JN	Jan Mayen: deleted, included in Svalbard and Jan Mayen (JS)	2-00-04
JO	JORDAN	
JQ	JOHNSTON ATOLL	
JS	Svalbard and Jan Mayen: deleted, separated into JAN MAYEN (JN) and SVALBARD (SV)	2-12-13
JS	Svalbard and Jan Mayen: added, replaced Svalbard (SV) and Jan Mayen (JN)	2-00-06
JU	JUAN DE NOVA ISLAND: added, separated from REUNION (RE)	2-12-16
KE	KENYA	
KN	KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF: changed from Korea, North (KN)	2-00-07
KQ	KINGMAN REEF: added, separated from U.S. Miscellaneous Pacific Islands (IQ)	2-12-17
KR	KIRIBATI: added, replaced Gilbert Islands (GS) and Canton and Enderbury Islands (EQ)	2-07-01
KS	KOREA, REPUBLIC OF	
KT	CHRISTMAS ISLAND	
KU	KUWAIT	
LA	LAOS	
LE	LEBANON	
LI	LIBERIA	
LQ	PALMYRA ATOLL: added, separated from U.S. Miscellaneous Pacific Islands (IQ)	2-12-20
LS	LIECHTENSTEIN	
LT	LESOTHO	
LU	LUXEMBOURG	
LY	LIBYA	
MA	MADAGASCAR	
MB	MARTINIQUE	
MC	MACAU: changed from Macao (MC)	2-11-01
ME	Spanish North Africa: deleted, included in SPAIN (SP)	2-00-25
ME	Spanish North Africa: changed from Spanish Territories in Northern Morocco (ME)	1-00-21
MF	MAYOTTE: added, separated from FRANCE (FR)	2-12-19
MG	MONGOLIA	
MH	MONTSERRAT	
MI	MALAWI	
ML	MALI	
MN	MONACO	

* Revised

TABLE 2. Basic Geopolitical Entities Sequenced by Country Code with Historical Records of Changes to Codes and Names Continued

NOTE Codes currently in use are only those associated with entity names in capital letters

Country Code	Name and Change Description	Change Number
MO	MOROCCO	
MP	MAURITIUS	
MQ	MIDWAY ISLANDS	
MR	MAURITANIA	
MT	MALTA	
MU	OMAN: changed from Muscat and Oman (MU)	1-00-16
MV	MALDIVES	
MX	MEXICO	
MY	MALAYSIA	
MZ	MOZAMBIQUE	
NA	NETHERLANDS ANTILLES	
NC	NEW CALEDONIA	
NE	NIUE	
NF	NORFOLK ISLAND	
NG	NIGER	
NH	VANUATU: changed from New Hebrides (NH)	2-10-01
NI	NIGERIA	
NL	NETHERLANDS	
NO	NORWAY	
NP	NEPAL	
NQ	TRUST TERRITORY OF THE PACIFIC ISLANDS: added, separated from Trust Territory of the Pacific Islands (TQ)	2-03-02
NR	NAURU	
NS	SURINAME: changed from Surinam (NS)	2-04-01
NU	NICARAGUA	
NZ	NEW ZEALAND	
PA	PARAGUAY	
PC	PITCAIRN ISLANDS: changed from Pitcairn (PC)	2-02-01
PC	Pitcairn: changed from Pitcairn Island (PC)	2-00-13
PE	PERU	
PF	PARACEL ISLANDS	
PG	SPRATLY ISLANDS: changed from Spratly Island (PG)	1-00-22
PK	PAKISTAN	
PL	POLAND	
PM	PANAMA: added, replaced Panama (PN) and Canal Zone (PQ)	2-09-01
PN	Panama: deleted, included in PANAMA (PM)	2-09-01
PO	PORTUGAL	
PP	PAPUA NEW GUINEA: changed from Papua and New Guinea (PP)	1-00-17
PQ	Canal Zone: deleted, included in PANAMA (PM)	2-07-04
PT	Portuguese Timor: deleted, included in INDONESIA (ID)	1-15-01
PU	GUINEA-BISSAU: changed from Portuguese Guinea (PU)	1-01-01
QA	QATAR	
RE	REUNION	
RH	Southern Rhodesia: deleted, replaced by ZIMBABWE (ZI)	2-08-01
RO	ROMANIA	
RP	PHILIPPINES	
RQ	PUERTO RICO	
RW	RWANDA	
SA	SAUDI ARABIA	*
SB	ST. PIERRE AND MIQUELON	
SC	ST. CHRISTOPHER AND NEVIS: changed from St. Christopher-Nevis (SC)	2-14-01
SC	St. Christopher-Nevis: changed from St. Christopher-Nevis-Anguilla (SC)	2-11-02
SE	SEYCHELLES	
SF	SOUTH AFRICA	
SG	SENEGAL	
SH	ST. HELENA	
SK	Sikkim: deleted, included in INDIA (IN)	1-04-01
SL	SIERRA LEONE	
SM	SAN MARINO	
SN	SINGAPORE	
SO	SOMALIA	
SP	SPAIN	
SQ	Swan Islands: deleted, included in HONDURAS (HO)	1-00-23
SS	Spanish Sahara: deleted, replaced by WESTERN SAHARA (WI)	2-00-03
ST	St. LUCIA	
SU	SUDAN	
SV	SVALBARD: added, separated from Svalbard and Jan Mayen (JS)	2-12-21
SV	Svalbard: deleted, included in Svalbard and Jan Mayen (JS)	2-00-05
SW	SWEDEN	
SY	SYRIA	
SZ	SWITZERLAND	
TC	UNITED ARAB EMIRATES: changed from Trucial States (TC)	1-00-24
TD	TRINIDAD AND TOBAGO	
TE	TROMELIN ISLAND: added, separated from REUNION (RE)	2-12-22
TH	THAILAND	
TK	TURKS AND CAICOS ISLANDS	
TL	TOKELAU: changed from Tokelau Islands (TL)	2-02-02
TN	TONGA	
TO	TOGO	
TP	SAO TOME AND PRINCIPE	
TQ	Trust Territory of the Pacific Islands: deleted, replaced by NORTHERN MARIANA ISLANDS (CQ) and TRUST TERRITORY OF THE PACIFIC ISLANDS (NQ)	2-03-02
TS	TUNISIA	
TU	TURKEY	
TV	TUVALU: added, separated from Gilbert and Ellice Islands (GN)	1-11-01
TW	TAIWAN: changed from China (Taiwan) (TW)	2-12-06
TW	China (Taiwan): changed from China, Republic of (TW)	2-00-15
TZ	TANZANIA, UNITED REPUBLIC OF: changed from Tanzania (TZ)	2-00-18
UG	UGANDA	
UK	UNITED KINGDOM	
UR	UNION OF SOVIET SOCIALIST REPUBLICS changed from Soviet Union (UR)	2-00-08
US	UNITED STATES	
UV	BURKINA (formerly known as Upper Volta)	*

* Revised

TABLE 2. Basic Geopolitical Entities Sequenced by Country Code with Historical Records of Changes to Codes and Names Continued
NOTE: Codes currently in use are only those associated with entity names in capital letters.

Country Code	Name and Change Description	Change Number
UY	URUGUAY	
VC	ST. VINCENT AND THE GRENADINES: changed from St. Vincent (VC)	2-07-05
VE	VENEZUELA	
VI	BRITISH VIRGIN ISLANDS	
VM	VIETNAM: added, replaced Viet-nam, North (VN) and Vietnam, Republic of (VS)	1-14-01
VN	Viet-nam, North: deleted, included in VIETNAM (VM)	1-14-01
VQ	VIRGIN ISLANDS: changed from Virgin Islands of the U.S. (VQ)	2-12-24
VQ	Virgin Islands of the U.S.: changed from Virgin Islands (VQ)	2-00-24
VS	Vietnam, Republic of: deleted, included in Vietnam (VM)	1-14-01
VT	VATICAN CITY	
WA	NAMIBIA: changed from South-West Africa (WA)	2-00-19
WB	Germany, Berlin: deleted, replaced by GERMANY, BERLIN (BZ)	2-00-22
WB	Germany, Berlin: changed from West Berlin (WB)	1-00-14
WE	WEST BANK: added	2-15-01
WF	WALLIS AND FUTUNA	
WI	WESTERN SAHARA: added, replaced Spanish Sahara (SS)	2-00-02
WQ	WAKE ISLAND	
WS	WESTERN SAMOA	
WZ	SWAZILAND	
YE	YEMEN (SANAA): changed from Yemen (Sana) (YE)	2-11-03
YE	Yemen (Sana): changed from Yemen (San'a) (YE)	1-05-01
* YE	Yemen (San'a): changed from Yemen (YE)	1-00-25
YM	YEMEN: added, replaced Yemen (Sanaa) (YE) and Yemen (Aden) (YS)	
YO	YUGOSLAVIA *	
YQ	Ryukyu Islands, Southern: deleted, included in JAPAN (JA)	1-00-19
YS	YEMEN (ADEN): changed from Southern Yemen (YS)	1-00-20
ZA	ZAMBIA	
ZI	ZIMBABWE: added, replaced Southern Rhodesia (RH)	2-08-01

Country Code	Name and Change Description	Change Number

* Revised

D III A 11(C), App D, HB 18

(18-Va:7)

APPENDIX A

Finding List for Places, Features, and Former Names Associated with Entities not Listed in the Standard

Former Name or Included Area Name:	*Basic Entity Name:*
Abu Dhabi	UNITED ARAB EMIRATES (TC)
Aden	YEMEN (ADEN) (YS)
Admiralty Islands (Bismarck Archipelago)	PAPUA NEW GUINEA (PP)
Aegean Islands	GREECE (GR)
Agalega Islands	MAURITIUS (MP)
Agrihan (island)	NORTHERN MARIANA ISLANDS (CQ)
Aguijan (Islands)	NORTHERN MARIANA ISLANDS (CQ)
Ailinglapalap Atoll	MARSHALL ISLANDS (RM)
Alamagan (island)	NORTHERN MARIANA ISLANDS (CQ)
Aland Islands	FINLAND (FI)
Aldabra Islands	SEYCHELLES (SE)
Alderney (island) (Channel Islands)	GUERNSEY (GK)
Aleutian Islands	UNITED STATES (US)
Alhucemas, Penon de	SPAIN (SP)
Alofi, Ile	WALLIS AND FUTUNA (WF)
Alphonse Island	SEYCHELLES (SE)
Amami Gunto (archipelago)	JAPAN (JA)
Amindivi Islands	INDIA (IN)
Amirante Isles	SEYCHELLES (SE)
Amsterdam, Ile	FRENCH SOUTHERN AND ANTARCTIC LANDS (FS)
Anatahan (island)	NORTHERN MARIANA ISLANDS (CQ)
Andaman Islands	INDIA (IN)
Anegada (island)	BRITISH VIRGIN ISLANDS (VI)
Angaur (island) (Caroline Islands)	TRUST TERRITORY OF THE PACIFIC ISLANDS (PS)
Anjouan (island)	COMOROS (CN)
Annobon (island)	EQUATORIAL GUINEA (EK)
Antipodes Islands	NEW ZEALAND (NZ)
Arno Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Ascension Island	ST. HELENA (SH)
Ashmore Islands	ASHMORE AND CARTIER ISLANDS (AT)
Assumption Island	SEYCHELLES (SE)
Asuncion (island)	NORTHERN MARIANA ISLANDS (CQ)
Atafu Atoll	TOKELAU (TL)
Atauro, Ilha de	INDONESIA (ID)
Auckland Islands	NEW ZEALAND (NZ)
Aunu'u (island)	AMERICAN SAMOA (AQ)
Australes, Iles	See: Tubuai Islands, FRENCH POLYNESIA (FP)
Azores (islands)	PORTUGAL (PO)
Babeldaob (island) (Caroline Islands)	TRUST TERRITORY OF THE PACIFIC ISLANDS (PS)
Baffin Island	CANADA (CA)
Balearic Islands	SPAIN (SP)
Banaba (island)	KIRIBATI (KR)
Banda (island)	INDONESIA (ID)
Banks, Iles	VANUATU (NH)
Basse Terre (island)	GUADELOUPE (GP)
Bear Island	See: Bjornoya (island), SVALBARD (SV)

Former Name or Included Area Name:	*Basic Entity Name:*
Belep, Iles	NEW CALEDONIA (NC)
Berlin, East	GERMANY (GM)
Berlin, West	GERMANY (GM)
Bijagos, Arquipelago dos	GUINEA-BISSAU (PU)
Bijoutier Island	SEYCHELLES (SE)
Bikini Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Billiton (island)	INDONESIA (ID)
Bioko (island)	EQUATORIAL GUINEA (EK)
Birnie Island (Phoenix Islands)	KIRIBATI (KR)
Bismarck Archipelago	PAPUA NEW GUINEA (PP)
Bjornoya (island)	SVALBARD (SV)
Boa Vista (island)	CAPE VERDE (CV)
Bonaire (island)	NETHERLANDS ANTILLES (NA)
Bonin Islands	JAPAN (JA)
Borneo (island)	BRUNEI (BX), INDONESIA (ID), and MALAYSIA (MY)
Bornholm (island)	DENMARK (DA)
Bougainville (island) (northern Solomon Islands)	PAPUA NEW GUINEA (PP)
Bounty Islands	NEW ZEALAND (NZ)
Brava (island)	CAPE VERDE (CV)
Brecqhou (island) (Channel Islands)	GUERNSEY (GK)
British Honduras	BELIZE (BH)
British Solomon Islands	SOLOMON ISLANDS (BP)
Buka (island) (northern Solomon Islands)	PAPUA NEW GUINEA (PP)
Burhou (island) (Channel Islands)	GUERNSEY (GK)
Caicos Islands	TURKS AND CAICOS ISLANDS (TK)
Canal Zone	PANAMA (PM)
Canary Islands	SPAIN (SP)
Cannanore (islands)	INDIA (IN)
Canton Island (Phoenix Islands)	KIRIBATI (KR)
Cargados Carajos Shoals	MAURITIUS (MP)
Caroline Island (Line Islands)	KIRIBATI (KR)
Caroline Islands	FEDERATED STATES OF MICRONESIA (PS)
Cato Island	AUSTRALIA (AS) *
Cayman Brac (island)	CAYMAN ISLANDS (CJ)
Cebu (island)	PHILIPPINES (RP)
Celebes (island)	INDONESIA (ID)
Central and Southern Line Islands	KIRIBATI (KR)
Ceuta	SPAIN (SP)
Ceylon	SRI LANKA (CE)

* Revised

APPENDIX A

Finding List for Places, Features, and Former Names Associated with Entities not Listed in the Standard Continued

Former Name or Included Area Name:	*Basic Entity Name:*
Chafarinas, Islas	SPAIN (SP)
Chagos Archipelago	BRITISH INDIAN OCEAN TERRITORY (IO)
Channel Islands	GUERNSEY (GK) and JERSEY (JE)
Chatham Islands	NEW ZEALAND (NZ)
Cheju-do (island)	KOREA, REPUBLIC OF (KS)
Chesterfield, Iles	NEW CALEDONIA (NC)
Choiseul (island)	SOLOMON ISLANDS (BP)
Christmas Island (Line Islands)	KIRIBATI (KR)
Coco, Isla del	COSTA RICA (CS)
Colon, Archipielago de	ECUADOR (EC)
Comino (island)	MALTA (MT)
Congo (Brazzaville)	CONGO (CF)
Congo (Kinshasa)	ZAIRE (CG)
Coringa Islets	AUSTRALIA (AS)
Corisco (island)	EQUATORIAL GUINEA (EK)
Corn Islands	See: Maiz, Islas del, NICARAGUA (NU)
Corsica	FRANCE (FR)
Cosmoledo Group (islands)	SEYCHELLES (SE)
Crete (island)	GREECE (GR)
Crozet, Iles	FRENCH SOUTHERN AND ANTARCTIC LANDS (FS)
Curacao (island)	NETHERLANDS ANTILLES (NA)
Daito-Jima	JAPAN (JA)
Daman	INDIA (IN)
Damao	See: Daman, INDIA (IN)
Danger Atoll	See: Pukapuka Atoll, COOK ISLANDS (CW)
Danzig	See: Gdansk, POLAND (PL)
D'Entrecasteaux Islands	PAPUA NEW GUINEA (PP)
Desirade, La (island)	GUADELOUPE (GP)
Desroches, Ile	SEYCHELLES (SE)
Diamond Islets	AUSTRALIA (AS)
Diego Garcia (island) (Chagos Archipelago)	BRITISH INDIAN OCEAN TERRITORY (IO)
Diu	INDIA (IN)
Dodecanese (islands)	GREECE (GR)
Dubai	UNITED ARAB EMIRATES (TC)
Ducie Atoll	PITCAIRN ISLANDS (PC)
Easter Island	See: Pascua, Isla de, CHILE (CI)
East Falkland (island)	FALKLAND ISLANDS (ISLAS MALVINAS) (FA)
East Germany	GERMAN (GM)
* Eauripik Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Ebon Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Elba (island)	ITALY (IT)
Ellesmere Island	CANADA (CA)
Ellice Islands	TUVALU (TV)
Elobey, Islas de	EQUATORIAL GUINEA (EK)
Enderbury Island (Phoenix Islands)	KIRIBATI (KR)
Enewetak Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
England	UNITED KINGDOM (UK)
Eniwetok Atoll	MARSHALL ISLANDS (RM)
Eritrea	ETHIOPIA (ET)
Estonia	UNION OF SOVIET SOCIALIST REPUBLICS (UR) (de facto)
Fais (island) (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Fakaofu Atoll	TOKELAU (TL)
Fanning Atoll (Line Islands)	KIRIBATI (KR)
Faraulep Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Farquhar Group	SEYCHELLES (SE)
Fernando de Noronha, Arquipelago de	BRAZIL (BR)
Fernando Po (island)	See: Bioko (island), EQUATORIAL GUINEA (EK)
Flint Island (Line Islands)	KIRIBATI (KR)
Fogo (island)	CAPE VERDE (CV)
Formosa	TAIWAN (TW)
Franz Josef Land (island)	UNION OF SOVIET SOCIALIST REPUBLICS (UR) (de facto)
Friendly Islands	TONGA (TN)
Funafuti (atoll)	TUVALU (TV)
Futuna (island)	WALLIS AND FUTUNA (WF)
Gaferut (island) (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Galapagos Islands	ECUADOR (EC) *
Gambier, Iles (Tuamotu Archipelago)	FRENCH POLYNESIA (FP)
Gardner Island (Phoenix Islands)	KIRIBATI (KR)
Gdansk	POLAND (PL)
Gilbert Islands	KIRIBATI (KR)
Goa	INDIA (IN)
Gotland (island)	SWEDEN (SW)
Gough Island	ST. HELENA (SH)
Gozo (island)	MALTA (MT)
Grand Cayman (island)	CAYMAN ISLANDS (CJ)
Grande Comore (island)	COMOROS (CN)
Grande-Terre (island)	GUADELOUPE (GP)
Green Islands (Solomon Islands)	PAPUA NEW GUINEA (PP)
Grenadines (northern)	ST. VINCENT AND THE GRENADINES (VC)
Grenadines (southern)	GRENADA (GJ)
Guadalcanal (island)	SOLOMON ISLANDS (BP)
Guguan (island)	NORTHERN MARIANA ISLANDS (CQ)
Haapai Group (islands)	TONGA (TN)
Habomai Islands	UNION OF SOVIET SOCIALIST REPUBLICS (UR) (de facto)

* Revised

APPENDIX A

Finding List for Places, Features, and Former Names Associated with Entities not Listed in the Standard—Continued

Former Name or Included Area Name:	*Basic Entity Name:*
* Hainan Dao	CHINA (CH)
Hall Islands (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Halmahera (island)	INDONESIA (ID)
Helen Island (Carolina Islands)	TRUST TERRITORY OF THE PACIFIC ISLANDS (PS)
Henderson Island	PITCAIRN ISLANDS (PC)
Herm (island) (Channel Islands)	GUERNSEY (GK)
Hokkaido (island)	JAPAN (JA)
Honshu (island)	JAPAN (JA)
Horne, Iles de	WALLIS AND FUTUNA (WF)
Hull Island (Phoenix Islands)	KIRIBATI (KR)
Huon, Ile	NEW CALEDONIA (NC)
Ifalik Atol (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Inaccessible Island	ST. HELENA (SH)
Ionian Islands	GREECE (GR)
Irian Jaya	INDONESIA (ID)
Iwo Jima (Volcano Islands)	JAPAN (JA)
Izu-shoto (islands)	JAPAN (JA)
Jaco, Ilheu de	INDONESIA (ID)
Jaluit Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Jammu and Kashmir	INDIA (IN) and PAKISTAN (PK)
Java Island	INDONESIA (ID)
Jethou (island) (Channel Islands)	GUERNSEY (GK)
Jost Van Dyke (island)	BRITISH VIRGIN ISLANDS (VI)
Juan Fernandez, Archipielago	CHILE (CI)
Juventud, Isla de la	CUBA (CU)
Kalimantan (Borneo Island)	INDONESIA (ID)
Kamaran (island)	YEMEN (ADEN) (YS)
Kampuchea	CAMBODIA (CB)
Kapingamarangi Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Karafuto (Sakhalin, southern)	UNION OF SOVIET SOCIALIST REPUBLICS (UR) (de facto)
Kerguelen, Iles	FRENCH SOUTHERN AND ANTARCTIC LANDS (FS)
Kermadec Islands	NEW ZEALAND (NZ)
Khmer Republic	KAMPUCHEA (CB)
Khuriya Muriya Islands	OMAN (MU)
Kili (island) (Marshall Islands)	MARSHALL ISLANDS (RM)
Kowloon	HONG KONG (HK)
Kosrae (island) (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Kuria Muria Islands	See: Khuriya Muriya Islands (OMAN (MU))
Kuril Islands (southern)	UNION OF SOVIET SOCIALIST REPUBLICS (UR) (de facto)
Kusaie (island)	FEDERATED STATES OF MICRONESIA (FM)
Kwajalein Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Kyushu (island)	JAPAN (JA)
Labrador	CANADA (CA)
Laccadive Islands	See: Cannanore (islands), INDIA (IN)
Lakshadweep islands	INDIA (IN)
Latvia	UNION OF SOVIET SOCIALIST REPUBLICS (UR) (de facto)
Lau Group	FIJI (FJ)
Leeward Islands	ANGUILLA (AV), ANTIGUA AND BARBUDA (AC), GUADELOUPE (GP), MONTSERRAT (MH), NETHERLANDS ANTILLES (NA), and ST. CHRISTOPHER AND NEVIS (SC)
Leyte (island)	PHILIPPINES (RP)
Lihou (island) (Channel Islands)	GUERNSEY (GK)
Line Islands	KIRIBATI (KR)
Lithuania	UNION OF SOVIET SOCIALIST REPUBLICS (UR) (de facto)
Little Cayman (island)	CAYMAN ISLANDS (CJ)
Lord Howe Island	AUSTRALIA (AS)
Louisiade Archipelago	PAPUA NEW GUINEA (PP)
Loyaute, Iles	NEW CALEDONIA (NC)
Luzon (island)	PHILIPPINES (RP)
Macao	See: Macau, MACAU (MC)
Macias Nguema Biyogo (island)	See: Bioko (island), EQUATORIAL GUINEA (EK)
Macquarie Island	AUSTRALIA (AS)
Madeira Islands	PORTUGAL (PO)
Maio (island)	CAPE VERDE (CV)
Maiz, Islas del	NICARAGUA (NU)
Majuro Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Malagasy Republic	MADAGASCAR (MA)
Malaita (island)	SOLOMON ISLANDS (BP)
Malden Island (Line Islands)	KIRIBATI (KR)
Mallorca (island) (Balearic Islands)	SPAIN (SP)
Maloelap Atoll (Marshall Islands)	MARSHALL ISLANDS (RM) *
Malpelo, Isla de	COLOMBIA (CO)
Malvinas, Islas	FALKLAND ISLANDS (ISLAS MALVINAS) (FA)
Manihiki Atoll	COOK ISLANDS (CW)
Manua Islands	AMERICAN SAMOA (AQ)
Marcus Island	See: Minami-tori-shima (JAPAN (JA))
Mariana Islands	GUAM (GQ) and NORTHERN MARIANA ISLANDS (CQ)
Marie-Galante (island)	GUADELOUPE (GP)
Marion Island	SOUTH AFRICA (SF)
Marquises, Iles	FRENCH POLYNESIA (FP)

* Revised

APPENDIX A

Finding List for Places, Features, and Former Names Associated with Entities not Listed in the Standard - Continued

Former Name or Included Area Name:	*Basic Entity Name:*
* Marshall Islands	MARSHALL ISLANDS (RM)
Martin Vaz, Ilhas	BRAZIL (BR)
Mascarene Islands	MAURITIUS (MP) and REUNION (RE)
Maug Islands	NORTHERN MARIANA ISLANDS (CQ)
McDonald Islands	HEARD ISLAND AND MCDONALD ISLANDS (HM)
McKean Island (Phoenix Islands)	KIRIBATI (KR)
Medinilla, Farallon de	NORTHERN MARIANA ISLANDS (CQ)
Melilla	SPAIN (SP)
Merir (island) (Caroline Islands)	TRUST TERRITORY OF THE PACIFIC ISLANDS (PS)
Mili Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Minami-tori-shima	JAPAN (JA)
Mindanao (island)	PHILIPPINES (RP)
Mindoro (island)	PHILIPPINES (RP)
Minicoy Island	INDIA (IN)
Moheli Island	COMOROS (CN)
Morant Cays	JAMAICA (JM)
Mortlock Islands (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Muscat and Oman	OMAN (MU)
Namonuito Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Namorik Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Nampo-shoto (islands)	JAPAN (JA)
Nanumanga (island)	TUVALU (TV)
Nanumea (island)	TUVALU (TV)
Negros (island)	PHILIPPINES (RP)
Nevis (island)	ST. CHRISTOPHER AND NEVIS (SC)
New Britain (island) (Bismarck Archipelago)	PAPUA NEW GUINEA (PP)
Newfoundland	CANADA (CA)
New Guinea (island)	INDONESIA (ID) and PAPUA NEW GUINEA (PP)
New Hebrides	VANUATU (NH)
New Ireland (island) (Bismarck Archipelago)	PAPUA NEW GUINEA (PP)
New Providence (island)	BAHAMAS, THE (BF)
New Siberian Islands	UNION OF SOVIET SOCIALIST REPUBLICS (UR) (de facto)
Ngatik Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Ngulu Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Nicobar Islands	INDIA (IN)
Nightingale Island	ST. HELENA (SH)
Nishino-shima (island)	JAPAN (JA)
Niutao	TUVALU (TV)
Northern Ireland	UNITED KINGDOM (UK)
North Korea	KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF (KN)
North Vietnam	VIETNAM (VM)
Novaya Zemlya (island)	UNION OF SOVIET SOCIALIST REPUBLICS (UR) (de facto)
Nui	TUVALU (TV)
Nukufetau (island)	TUVALU (TV)
Nukulailai (island)	TUVALU (TV)
Nukunonu Atoll	TOKELAU (TL)
Nukuoro Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Nurakita (island)	TUVALU (TV)
Ocean Island	See: Banaba (island), KIRIBATI (KR)
Oe-Cusse	INDONESIA (ID)
Oeno Atoll	PITCAIRN ISLANDS (PC)
Ogasawara-gunto	JAPAN (JA)
Oil Islands	See: Chagos Archipelago (BRITISH INDIAN OCEAN TERRITORY (IO))
Okinawa (island)	JAPAN (JA)
Okino-tori-shima	JAPAN (JA)
Orkney Islands	UNITED KINGDOM (UK)
Oroluk Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Otu Tolu Group	TONGA (TN)
Pagalu (island)	See: Annobon (island) (EQUATORIAL GUINEA (EK))
Pagan (island)	NORTHERN MARIANA ISLANDS (CQ)
Pajaros, Farallon de	NORTHERN MARIANA ISLANDS (CQ)
Palau Islands (Caroline Islands)	TRUST TERRITORY OF THE PACIFIC ISLANDS (PS)
Palawan (island)	PHILIPPINES (RP)
Panay (island)	PHILIPPINES (RP)
Pantelleria, Isola di	ITALY (IT)
Parece Vela (island)	See: Okino-tori-shima, JAPAN (JA)
Pascua, Isla de	CHILE (CI)
Pedro Cays	JAMAICA (JM)
Peleliu (island) (Caroline Islands)	TRUST TERRITORY OF THE PACIFIC ISLANDS (PS)
Pemba Island	TANZANIA, UNITED REPUBLIC OF (TZ)
Penrhyn Atoll	COOK ISLANDS (CW)
Perim (island)	YEMEN (ADEN) (YS)
Pescadores (islands)	TAIWAN (TW)
Peter I Island	ANTARCTICA (AY)
Petite Terre, Iles de la	GUADELOUPE (GP)
Philip Island	NORFOLK ISLAND (NF)
Phoenix Island (Phoenix Islands)	KIRIBATI (KR)
Phoenix Islands	KIRIBATI (KR)
Pines, Isle of	See: Juventud, Isla de la, CUBA (CU)
Pingelap Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Pins, Ile des	NEW CALEDONIA (NC)
Ponape (island) (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Portuguese Guinea	GUINEA-BISSAU (PU) *
Portuguese Timor	INDONESIA (ID)
Prince Edward Island	SOUTH AFRICA (SF)

* Revised

(18-Va:7)

APPENDIX A

Finding List for Places, Features, and Former Names Associated with Entities not Listed in the Standard—Continued

Former Name or Included Area Name:	*Basic Entity Name:*
Principe (island)	SAO TOME AND PRINCIPE (TP)
Providencia (island)	COLOMBIA (CO)
Pukapuka Atoll	COOK ISLANDS (CW)
* Pulap Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Pulo Anna (island) (Caroline Islands)	TRUST TERRITORY OF THE PACIFIC ISLANDS (PS)
Pulusak (island) (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Puluwat Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA (FM)
Queen Elizabeth Islands	CANADA (CA)
Queen Maud Land	ANTARCTICA (AY)
Rakahanga Atoll	COOK ISLANDS (CW)
Ralik Chain (islands) (Marshall Islands)	MARSHALL ISLANDS (RM)
Ratak Chain (islands) (Marshall Islands)	MARSHALL ISLANDS (RM)
Redonda (island)	ANTIGUA AND BARBUDA (AC)
Revillagigedo, Islas	MEXICO (MX)
Rhodes (island)	GREECE (GR)
Rhodesia	ZIMBABWE (ZI)
Rio de Oro	WESTERN SAHARA (WI)
Rio Muni	EQUATORIAL GUINEA (EK)
Rocas, Atol das	BRAZIL (BR)
Rodrigues (island)	MAURITIUS (MP)
Roncador Cay	COLOMBIA (CO)
Rongelap Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Rosario Island	See: Nishino-shima, JAPAN (JA)
Rose Island (Samoa Islands)	AMERICAN SAMOA (AQ)
Ross Dependency	ANTARCTICA (AY)
Rota (island)	NORTHERN MARIANA ISLANDS (CQ)
Rotuma (island)	FIJI (FJ)
Ryukyu Islands	JAPAN (JA)
Saba (island)	NETHERLANDS ANTILLES (NA)
Sabah (Borneo Island)	MALAYSIA (MY)
Saguia el Hamra	WESTERN SAHARA (WI)
Saint-Barthelemy (island)	GUADELOUPE (GP)
Saintes, Ile des	GUADELOUPE (GP)
St. Francois Island	SEYCHELLES (SE)
Saint-Martin (northern)	GUADELOUPE (GP)
Saint Martin (southern)	NETHERLANDS ANTILLES (NA)
Saint Paul, Ile	FRENCH SOUTHERN AND ANTARCTIC LANDS (FS)
St. Pierre Islet	SEYCHELLES (SE)
Saipan (island)	NORTHERN MARIANA ISLANDS (CQ)
Sakhalin Island (northern)	UNION OF SOVIET SOCIALIST REPUBLICS (UR)
Sakhalin Island (southern)	See: Karafuto (UNION OF SOVIET SOCIALIST REPUBLICS (UR))
Sal (island)	CAPE VERDE (CV)
Sala y Gomez, Isla	CHILE (CI)

Former Name or Included Area Name:	*Basic Entity Name:*
San Andres y Providencia, Archipelago de (islands)	COLOMBIA (CO)
San Cristobal (island)	SOLOMON ISLANDS (BP)
San Felix, Isla	CHILE (CI)
Santa Cruz Islands	SOLOMON ISLANDS (BP)
Santa Isabel (island)	SOLOMON ISLANDS (BP)
Santo Antao (island)	CAPE VERDE (CV)
Sao Nicolau (island)	CAPE VERDE (CV)
Sao Pedro e Sao Paulo, Penedos de	BRAZIL (BR)
Sao Tiago (island)	CAPE VERDE (CV)
Sao Vicente (island)	CAPE VERDE (CV)
Sarawak (Borneo Island)	MALAYSIA (MY)
Sarigan (island)	NORTHERN MARIANA ISLANDS (CQ)
Sark (island) (Channel Islands)	GUERNSEY (GK)
Scotland	UNITED KINGDOM (UK)
Serrana Bank	COLOMBIA (CO)
Serranilla Bank	COLOMBIA (CO)
Shetland Islands	UNITED KINGDOM (UK)
Sikkim	INDIA (IN)
Sint Eustatius	NETHERLANDS ANTILLES (NA)
Society Islands	FRENCH POLYNESIA (FP)
Socotra (island)	YEMEN (ADEN) (YS)
Solomon Islands (northern)	PAPUA NEW GUINEA (PP)
Solomon Islands (southern)	SOLOMON ISLANDS (BP)
Sombrero (island)	ANGUILLA (AV)
Sonsorol Islands (Caroline Islands)	TRUST TERRITORY OF THE PACIFIC ISLANDS (PS)
Sous le Vent, Iles (Society Islands)	FRENCH POLYNESIA (FP) *
South Arabia	YEMEN (ADEN) (YS)
Southern Grenadines	GRENADA (GJ)
South Georgia (island)	FALKLAND ISLANDS (ISLAS MALVINAS) (FA)
South Korea	KOREA, REPUBLIC OF (KS)
South Orkney Islands	ANTARCTICA (AY)
South Sandwich Islands	FALKLAND ISLANDS (ISLAS MALVINAS) (FA)
South Shetland Islands	ANTARCTICA (AY)
South Vietnam	VIETNAM (VM)
South-West Africa	NAMIBIA (WA)
Spanish Sahara	WESTERN SAHARA (WI)
Spitsbergen (island)	SVALBARD (SV)
Starbuck Island (Line Islands)	KIRIBATI (KR)
Steyart Island	NEW ZEALAND (NZ)
Sulu Archipelag	PHILIPPINES (RP)
Sumatra (island)	INDONESIA (ID)
Sunda Islands, Lesser	INDONESIA (ID)
Swains Island	AMERICAN SAMOA (AQ)
Swan Islands	HONDURAS (HO)

* Revised

APPENDIX A

Finding List for Places, Features, and Former Names Associated with Entities not Listed in the Standard Continued

Former Name or Included Area Name:	*Basic Entity Name:*
Sydney Island (Phoenix Islands)	KIRIBATI (KR)
* Tahiti (island) (Society Islands)	FRENCH POLYNESIA (FP)
Tanganyika	TANZANIA, UNITED REPUBLIC OF (TZ)
Taongi Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Tasmania	AUSTRALIA (AS)
Terre Adelie	ANTARCTICA (AY)
Tibet	CHINA (CH)
Tierra del Fuego, Isla Grande de	ARGENTINA (AR) and CHILE (CI)
Timor (island)	INDONESIA (ID)
Tinian (island)	NORTHERN MARIANA ISLANDS (CQ)
Tobago (island)	TRINIDAD AND TOBAGO (TD)
Tobi (island) (Caroline Islands)	TRUST TERRITORY OF THE PACIFIC ISLANDS (PS)
Tongatapu Group (islands)	TONGA (TN)
Torres, Iles	VANUATU (NH)
Tortola (island)	BRITISH VIRGIN ISLANDS (VI)
Trindade, Ilha da	BRAZIL (BR)
Tristan da Cunha Group (islands)	ST. HELENA (SH)
Trobriand Islands	PAPUA NEW GUINEA (PP)
Trucial States	UNITED ARAB EMIRATES (TC)
Truk Islands (Caroline Islands)	FEDERATED STATES OF MICRONESIA
Tuamotu, Iles	FRENCH POLYNESIA (FP)
Tubuai Islands	FRENCH POLYNESIA (FP)
Turks Island	TURKS AND CAICOS ISLANDS (TK)
Tutuila (island)	AMERICAN SAMOA (AQ)
Ujelang Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Ulithi Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA
Ullung-do (island)	KOREA, REPUBLIC OF (KS)
Union Group (islands)	TOKELAU (TL)
Upolu (island)	WESTERN SAMOA (WS)
Utirik Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Uvea, Ile	WALLIS AND FUTUNA (WF)
Vaitupu (island)	TUVALU (TV)
Vanua Levu (island)	FIJI (FJ)
Vavau Group (islands)	TONGA (TN)
Velez de la Gomera, Penon de	SPAIN (SP)
Vent, Iles du (Society Islands)	FRENCH POLYNESIA (FP)
Virgin Gorda (island)	BRITISH VIRGIN ISLANDS (VI)
Viti Levu (island)	FIJI (FJ)
Volcano Islands	JAPAN (JA)
Vostok Island (Line Islands)	KIRIBATI (KR)
Wales	UNITED KINGDOM (UK)
Walpole, Ile	NEW CALEDONIA (NC)
Walvis Bay	SOUTH AFRICA (SF)
Washington Island (Line Islands)	KIRIBATI (KR)
West Falkland (island)	FALKLAND ISLANDS (ISLAS MALVINAS) (FA)
West Fayu Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA
West Germany	GERMANY (GM)
West New Guinea	See: Irian Jaya, INDONESIA (ID)
Willis Islets	AUSTRALIA (AS)
Windward Islands	ST. VINCENT AND THE GRENADINES (VC), DOMINICA (DO), MARTINIQUE (MB), GRENADA (GJ), and ST. LUCIA (ST)
Woleai Atoll (Caroline Islands)	FEDERATED STATES OF MICRONESIA
Woodlark (island)	PAPUA NEW GUINEA (PP)
Wotje Atoll (Marshall Islands)	MARSHALL ISLANDS (RM)
Wrangel Island	UNION OF SOVIET SOCIALIST REPUBLICS (UR) (de facto)
Yap Islands (Caroline Islands)	FEDERATED STATES OF MICRONESIA
Yemen (Aden)	YEMEN (YM)
Yemen (Sanaa)	YEMEN (YM)
Zanzibar	TANZANIA, UNITED REPUBLIC OF (TZ)

* Revised

APPENDIX B

Cross-Reference to FIPS PUB 104 Codes, Entity Names, and Entity Definitions

*Entity Name and Code in FIPS PUB 10-3 (***Entity not used in FIPS PUB 10-3)*		*FIPS PUB 104 Alpha-2 Code*	*Entity Name and/or Definition in FIPS PUB 104, if Different from FIPS PUB 10-3*
AFGHANISTAN	AF	AF	
ALBANIA	AL	AL	
ALGERIA	AG	DZ	
AMERICAN SAMOA	AQ	AS	
ANDORRA	AN	AD	
ANGOLA	AO	AO	
ANGUILLA	AV	AI	
ANTARCTICA	AY	AQ	
ANTIGUA AND BARBUDA	AC	AG	
ARGENTINA	AR	AR	
ASHMORE AND CARTIER ISLANDS	AT	—	Included in AUSTRALIA
AUSTRALIA	AS	AU	Includes ASHMORE AND CARTIER ISLANDS and CORAL SEA ISLANDS
AUSTRIA	AU	AT	
BAHAMAS, THE	BF	BS	
BAHRAIN	BA	BH	
BAKER ISLAND	FQ	—	Included in UNITED STATES MISC. PACIFIC ISLANDS
BANGLADESH	BG	BD	
BARBADOS	BB	BB	
BASSAS DA INDIA	BS	—	Included in REUNION
BELGIUM	BE	BE	
BELIZE	BH	BZ	
BENIN	BN	BJ	
BERMUDA	BD	BM	
BHUTAN	BT	BT	
BOLIVIA	BL	BO	
BOTSWANA	BC	BW	
BOUVET ISLAND	BV	BV	
BRAZIL	BR	BR	
BRITISH INDIAN OCEAN TERRITORY	IO	IO	
BRITISH VIRGIN ISLANDS	VI	VG	
BRUNEI	BX	BN	
BULGARIA	BU	BG	
BURKINA	UV	BF	Named BURKINA FASO *
BURMA	BM	BU	
BURUNDI	BY	BI	
CAMBODIA	CB	KH	Named KAMPUCHEA, DEMOCRATIC
CAMEROON	CM	CM	Named CAMEROON, UNITED REPUBLIC OF
CANADA	CA	CA	
CAPE VERDE	CV	CV	
CAYMAN ISLANDS	CJ	KY	
CENTRAL AFRICAN REPUBLIC	CT	CF	
CHAD	CD	TD	
CHILE	CI	CL	
CHINA	CH	CN	
CHRISTMAS ISLAND	KT	CX	
CLIPPERTON ISLAND	IP	—	Included in FRENCH POLYNESIA
COCOS (KEELING) ISLANDS	CK	CC	
COLOMBIA	CO	CO	
COMOROS	CN	KM	
CONGO	CF	CG	
COOK ISLANDS	CW	CK	
CORAL SEA ISLANDS	CR	—	Included in AUSTRALIA
COSTA RICA	CS	CR	
CUBA	CU	CU	
CYPRUS	CY	CY	
CZECHOSLOVAKIA	CZ	CS	
DENMARK	DA	DK	
DJIBOUTI	DJ	DJ	
DOMINICA	DO	DM	
DOMINICAN REPUBLIC	DR	DO	
ECUADOR	EC	EC	
EGYPT	EG	EG	
EL SALVADOR	ES	SV	
EQUATORIAL GUINEA	EK	GQ	
ETHIOPIA	ET	ET	
EUROPA ISLAND	EU		Included in REUNION
FALKLAND ISLANDS (ISLAS MALVINAS)	FA	FK	
FAROE ISLANDS	FO	FO	
FIJI	FJ	FJ	
FINLAND	FI	FI	
FRANCE	FR	FR	
FRENCH GUIANA	FG	GF	
FRENCH POLYNESIA	FP	PF	Includes CLIPPERTON ISLAND
FRENCH SOUTHERN AND ANTARCTIC LANDS	FS	TF	
GABON	GB	GA	
GAMBIA, THE	GA	GM	
GAZA STRIP	GZ	—	Included in ISRAEL
GERMAN DEMOCRATIC REPUBLIC	GC	DD	Includes Russian sector of GERMANY, BERLIN

* Revised

APPENDIX B

Cross-Reference to FIPS PUB 104 Codes, Entity Names, and Entity Definitions Continued

*Entity Name and Code in FIPS PUB 10-3 (***Entity not used in FIPS PUB 10-3)*		*FIPS PUB 104 Alpha-2 Code*	*Entity Name and/or Definition in FIPS PUB 104, if Different from FIPS PUB 10-3*
GERMANY, BERLIN	BZ	-	Russian sector included in GERMAN DEMOCRATIC REPUBLIC, American, British, and French sectors included in GERMANY, FEDERAL REPUBLIC OF
GERMANY, FEDERAL REPUBLIC OF	GE	DE	Includes American, British, and French sectors of GERMANY, BERLIN
GHANA	GH	GH	
GIBRALTAR	GI	GI	
GLORIOSO ISLANDS	GO	—	Included in REUNION
GREECE	GR	GR	
GREENLAND	GL	GL	
GRENADA	GJ	GD	
GUADELOUPE	GP	GP	
GUAM	GQ	GU	
GUATEMALA	GT	GT	
GUERNSEY	GK	—	Included in UNITED KINGDOM
GUINEA	GV	GN	
GUINEA-BISSAU	PU	GW	
GUYANA	GY	GY	
HAITI	HA	HT	
HEARD ISLAND AND MCDONALD ISLANDS	HM	HM	
HONDURAS	HO	HN	
HONG KONG	HK	HK	
HOWLAND ISLAND	HQ	—	Included in UNITED STATES MISC. PACIFIC ISLANDS
HUNGARY	HU	HU	
ICELAND	IC	IS	
INDIA	IN	IN	
INDONESIA	ID	ID	
IRAN	IR	IR	
IRAQ	IZ	IQ	
IRAQ-SAUDI ARABIA NEUTRAL ZONE	IY	NT	
IRELAND	EI	IE	
ISRAEL	IS	IL	Includes GAZA STRIP and WEST BANK
ITALY	IT	IT	
IVORY COAST	IV	CI	
JAMAICA	JM	JM	
JAN MAYEN	JN	-	Included in SVALBARD AND JAN MAYEN ISLANDS
JAPAN	JA	JP	
JARVIS ISLAND	DQ	—	Included in UNITED STATES MISC. PACIFIC ISLANDS
JERSEY	JE	-	Included in UNITED KINGDOM
JOHNSTON ATOLL	JQ	JT	
JORDAN	JO	JO	
JUAN DE NOVA ISLAND	JU	—	Included in REUNION
KENYA	KE	KE	
KINGMAN REEF	KQ	—	Included in UNITED STATES MISC. PACIFIC ISLANDS
KIRIBATI	KR	KI	
KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF	KN	KP	
KOREA, REPUBLIC OF	KS	KR	
KUWAIT	KU	KW	
LAOS	LA	LA	Named LAO PEOPLE'S DEMOCRATIC REPUBLIC
LEBANON	LE	LB	
LESOTHO	LT	LS	
LIBERIA	LI	LR	
LIBYA	LY	LY	
LIECHTENSTEIN	LS	LI	
LUXEMBOURG	LU	LU	
MACAU	MC	MO	
MADAGASCAR	MA	MG	
MALAWI	MI	MW	
MALAYSIA	MY	MY	
MALDIVES	MV	MV	
MALI	ML	ML	
MALTA	MT	MT	
MAN, ISLE OF	IM	—	Included in UNITED KINGDOM
MARTINIQUE	MB	MQ	
MAURITANIA	MR	MR	
MAURITIUS	MP	MU	
MAYOTTE	MF	YO	
MEXICO	MX	MX	
MIDWAY ISLANDS	MQ	MI	
MONACO	MN	MC	
MONGOLIA	MG	MN	
MONTSERRAT	MH	MS	

APPENDIX B

Cross-Reference to FIPS PUB 104 Codes, Entity Names, and Entity Definitions—Continued

*Entity Name and Code in FIPS PUB 10-3 (***Entity not used in FIPS PUB 10-3)*		*FIPS PUB 104 Alpha-2 Code*	*Entity Name and/or Definition in FIPS PUB 104, if Different from FIPS PUB 10-3*
MOROCCO	MO	MA	
MOZAMBIQUE	MZ	MZ	
NAMIBIA	WA	NA	
NAURU	NR	NR	
NAVASSA ISLAND	BQ	NV	
NEPAL	NP	NP	
NETHERLANDS	NL	NL	
NETHERLANDS ANTILLES	NA	AN	
NEW CALEDONIA	NC	NC	
NEW ZEALAND	NZ	NZ	
NICARAGUA	NU	NI	
NIGER	NG	NE	
NIGERIA	NI	NG	
NIUE	NE	NU	
NORFOLK ISLAND	NF	NF	
NORTHERN MARIANA ISLANDS	CQ	—	Included in TRUST TERRITORY OF THE PACIFIC ISLANDS
NORWAY	NO	NO	
OMAN	MU	OM	
PAKISTAN	PK	PK	
PALMYRA ATOLL	LQ	—	Included in UNITED STATES MISC. PACIFIC ISLANDS
PANAMA	PM	PA	
PAPUA NEW GUINEA	PP	PG	
PARACEL ISLANDS	PF	PI	
PARAGUAY	PA	PY	
PERU	PE	PE	
PHILIPPINES	RP	PH	
PITCAIRN ISLANDS	PC	PN	
POLAND	PL	PL	
PORTUGAL	PO	PT	
PUERTO RICO	RQ	PR	
QATAR	QA	QA	
REUNION	RE	RE	Includes BASSAS DA INDIA, EUROPA ISLAND, GLORIOSO ISLANDS, JUAN DE NOVA, TROMELIN ISLAND
ROMANIA	RO	RO	
RWANDA	RW	RW	
ST. CHRISTOPHER AND NEVIS	SC	KN	
ST. HELENA	SH	SH	
ST. LUCIA	ST	LC	
ST. PIERRE AND MIQUELON	SB	PM	
ST. VINCENT AND THE GRENADINES	VC	VC	
SAN MARINO	SM	SM	
SAO TOME AND PRINCIPE	TP	ST	
SAUDI ARABIA	SA	SA	
SENEGAL	SG	SN	
SEYCHELLES	SE	SC	
SIERRA LEONE	SL	SL	
SINGAPORE	SN	SG	
SOLOMON ISLANDS	BP	SB	
SOMALIA	SO	SO	
SOUTH AFRICA	SF	ZA	
SPAIN	SP	ES	
SPRATLY ISLANDS	PG	SI	
SRI LANKA	CE	LK	
SUDAN	SU	SD	
SURINAME	NS	SR	
SVALBARD	SV	—	Included in SVALBARD AND JAN MAYEN ISLANDS
***	—	SJ	Named SVALBARD AND JAN MAYEN ISLANDS, comprises SVALBARD and JAN MAYEN
SWAZILAND	WZ	SZ	
SWEDEN	SW	SE	
SWITZERLAND	SZ	CH	
SYRIA	SY	SY	Named SYRIAN ARAB REPUBLIC
TANZANIA, UNITED REPUBLIC OF	TZ	TZ	
THAILAND	TH	TH	
TOGO	TO	TG	
TOKELAU	TL	TK	
TONGA	TN	TO	
TRINIDAD AND TOBAGO	TD	TT	
TROMELIN ISLAND	TE	—	Included in REUNION
TRUST TERRITORY OF THE PACIFIC ISLANDS	NQ	PC	Includes NORTHERN MARIANA ISLANDS
TUNISIA	TS	TN	
TURKEY	TU	TR	
TURKS AND CAICOS ISLANDS	TK	TC	

APPENDIX B

Cross-Reference to FIPS PUB 104 Codes, Entity Names, and Entity Definitions Continued

*Entity Name and Code in FIPS PUB 10-3 (***Entity not used in FIPS PUB 10-3)*		*FIPS PUB 104 Alpha-2 Code*	*Entity Name and/or Definition in FIPS PUB 104, if Different from FIPS PUB 10-3*
TUVALU	TV	TV	
UGANDA	UG	UG	
UNION OF SOVIET SOCIALIST REPUBLICS	UR	SU	
UNITED ARAB EMIRATES	TC	AE	
UNITED KINGDOM	UK	GB	Includes GUERNSEY, JERSEY, and MAN, ISLE OF
UNITED STATES	US	US	
***	—	PU	Named UNITED STATES MISC. PACIFIC ISLANDS; comprises BAKER ISLAND, JARVIS ISLAND, HOWLAND ISLAND, KINGMAN REEF, and PALMYRA ATOLL
URUGUAY	UY	UY	
VANUATU	NH	VU	
VATICAN CITY	VT	VA	
VENEZUELA	VE	VE	
VIETNAM	VM	VN	
VIRGIN ISLANDS	VQ	VI	Named VIRGIN ISLANDS OF THE U.S.
WAKE ISLAND	WQ	WK	
WALLIS AND FUTUNA	WF	WF	
WEST BANK	WE	—	Included in ISRAEL.
WESTERN SAHARA	WI	EH	
WESTERN SAMOA	WS	WS	
YEMEN (ADEN)	YS	YD	
YEMEN (SANAA)	YE	YE	
YUGOSLAVIA	YO	YU	
ZAIRE	CG	ZR	
ZAMBIA	ZA	ZM	
ZIMBABWE	ZI	ZW	
TAIWAN	TW	TW	

TRANSMITTAL MEMORANDUM CHECKSHEET
FOR HANDBOOK 18 - INFORMATION SERVICES
GEOGRAPHIC CODE BOOK

18-Va:1	_____	18-Va:25	_____	18-Va:49	_____
18-Va:2	_____	18-Va:26	_____	18-Va:50	_____
18-Va:3	_____	18-Va:27	_____	18-Va:51	_____
18-Va:4	_____	18-Va:28	_____	18-Va:52	_____
18-Va:5	_____	18-Va:29	_____	18-Va:53	_____
18-Va:6	_____	18-Va:30	_____	18-Va:54	_____
18-Va:7	_____	18-Va:31	_____	18-Va:55	_____
18-Va:8	_____	18-Va:32	_____	18-Va:56	_____
18-Va:9	_____	18-Va:33	_____	18-Va:57	_____
18-Va:10	_____	18-Va:34	_____	18-Va:58	_____
18-Va:11	_____	18-Va:35	_____	18-Va:59	_____
18-Va:12	_____	18-Va:36	_____	18-Va:60	_____
18-Va:13	_____	18-Va:37	_____	18-Va:61	_____
18-Va:14	_____	18-Va:38	_____	18-Va:62	_____
18-Va:15	_____	18-Va:39	_____	18-Va:63	_____
18-Va:16	_____	18-Va:40	_____	18-Va:64	_____
18-Va:17	_____	18-Va:41	_____	18-Va:65	_____
18-Va:18	_____	18-Va:42	_____	18-Va:66	_____
18-Va:19	_____	18-Va:43	_____	18-Va:67	_____
18-Va:20	_____	18-Va:44	_____	18-Va:68	_____
18-Va:21	_____	18-Va:45	_____	18-Va:69	_____
18-Va:22	_____	18-Va:46	_____	18-Va:70	_____
18-Va:23	_____	18-Va:47	_____	18-Va:71	_____
18-Va:24	_____	18-Va:48	_____	18-Va:72	_____

ATTACHMENT A 11(D)
BUREAU/OFFICE AND REGION CODES

A Bureau/Office code represents an administrative organization for management purposes. A Bureau/Office code will cross Geographic Regions, i.e., Asia Bureau contains two regions.

A Geographic Region denotes geographic related entities.

The coding structure is used by the Country Program Data Bank (CPDB), Program Budget Data System (PBDS), Loan/Grant File, Project Accounting Information System (PAIS), and the Flash Report supplemental.

Numerical List of Current Bureau/Office and Region Codes

CODE	NAME BUREAU/OFFICE
01	Bureau for Program and Policy Coordination
02	Trade and Development Program
03	Office of International Training
04	Bureau for Asia/Near East and Europe
05	Bureau for Latin America and Caribbean
06	Bureau for Africa
07	(Superseded)
08	(Superseded)
09	Bureau for Management
10	(Superseded)
11	(Superseded)
12	Europe and Other
14	(Superseded)
15	Bureau for Science and Technology
16	Office of the Administrator
17	Office of the Executive Secretary
18	(Superseded)
19	(Superseded)
20	(Superseded)
21	Office of the Inspector General
22	Office of Legislative Affairs
23	(Superseded)
24	Office of General Counsel
* 25	Bureau for Personnel and Financial Management *
26	Office of Equal Opportunity Programs
27	Office of Financial Management
28	Bureau for Food for Peace and Voluntary Assistance
29	Bureau for Private Enterprise

* Revised

CODE	NAME BUREAU/OFFICE
* 30	Office of U.S. Foreign Disaster Assistance
31	Office of Small and Disadvantaged Business Utilization
34	Office of Science Advisor *
40	Bureau for External Affairs
48	BIFAD Support Staff
50	Nonregional Overseas

Regions

1. Europe
2. Near East
3. South Asia
4. East Africa
5. Latin America
6. Africa
7. Canada
8. Oceania and Other
9. Interregional Activities

* Revised

ATTACHMENT A 11(E)

DECISION UNIT CODES

A Decision Unit represents a decision making unit at a level below the Bureau within the AID organization. The Decision Unit codes are used in the PPC computer-based systems; e.g., the Program Budget Data System (PBDS). The codes are used to generate names from the DECNAME list of the INQUIRE decode table.

Decunit	Decname
Bureau for Program and Policy Coordination	
906	Women in Development
* 908	Development Information
909	Policy Development/Program Review
914	Evaluation
915	Economic Affairs
916	Agency Wide Programs
917	Donor Coordination
918	Human Rights
990	Strategic Planning
993	UNICEF
994	Peace Corps
996	U.S. - Israel Cooperation
Bureau for Science and Technology	
011	Program Office *
014	Institute Support Grant
021	Agriculture
023	Nutrition
032	Forestry and Environment Natural Resources

* Revised

Bureau for Science and Technology (cont.)

Decunit	Decname
034	Engineering
035	Energy
041	Education
042	Health
* 043	Population
061	Research and University Relations
063	Rural and Institutional Development
995	CGIAR

Bureau for Food for Peace and Voluntary Assistance

903	Private and Voluntary Cooperation
904	Food for Peace
907	Labor Affairs
913	American Schools and Hospitals Abroad
920	Program Management Support Office

Bureau for Private Enterprise

033	Housing and Urban Development
939	Investment
940	Project Development
943	Amsel, Miao and Informational Enterprise
945	Development Planning

Office of U.S. Foreign Disaster Assistance

902	Foreign Disaster *

* Revised

Office of Science Advisor

942	Science Advisor

Office of International Training

044	International Training

Other

999	Special Requirements Fund

TABLE 12

PIO DOCUMENT CODE

General Purposes: This one-digit number identifies each type of document and general reason for its issuance.

Responsible Office: PPC/PB/PDS

Code	Type of Implementing Documents	
1	PIO/P:	Participant Training
2	PIO/T:	Participating Agency Service Agreement
3	PIO/T:	Contract for Services
* 4	PIO/C:	Commodities - Mission issued
5	PIO/C:	Commodities - AID/W, MS/OP issued *

* Revised

TABLE 13

SPECIAL COMMODITY CODES

DEVELOPED FOR AID PURPOSES

General Purposes: Special commodity code numbers have been developed specifically for use by AID. Although each number is of seven digits (for convenience in the machine encoding system used with commodity statistical identification), the AID code numbers are not Schedule B numbers and are not a part of the Department of Commerce classification system. Some AID code numbers may be included in implementing documents, as appropriate; others are only for AID internal use. In either case, the AID code number serves to authorize and/or identify special transactions or specific expenditures which are not identifiable under Schedule B classifications but which are attributable to an AID program.

* Responsible Office: MS/OP
Advisory Offices: FM/FSD and FM/CARD/EA *

* Revised

TABLE 13

ADMINISTRATIVE SCHEDULE B CODES
IN THE ZERO BALANCE PROGRAM
DEVELOPED FOR AID PURPOSES

General Purposes: Administrative code numbers have been developed specifically for use by AID. Although each number is of seven digits (for convenience in the machine encoding system used with commodity statistical identification), the AID code numbers are not Schedule B numbers and are not a part of the Department of Commerce classification system. Some AID code numbers may be included in implementing documents, as appropriate; others are only for AID internal use. In either case, the AID code number serves to authorize and/or identify special transactions or specific expenditures which are not identifiable under Schedule B classifications but which are attributable to an AID program.

* Responsible Office: MS/OP
Advisory Offices: FM/FSD and FM/CARD/EA *

* Revised

TABLE 13

ADMINISTRATIVE SCHEDULE B CODES
IN THE ZERO BALANCE PROGRAM
DEVELOPED FOR AID PURPOSES

All codes, other than those with an asterisk (*), are for AID use only. Those with an asterisk may be included in implementing documents, as appropriate.

Description	Schedule B Code No #
FAA Overhead	9891133
Domestic US Excess Property	9895000 *
Foreign US Excess Property	9895100 *
Banking Charges	9897000
Interest Charges	9897100
Cable Payments	9897200
Private Enterprise	9897300
PASA	9897400
Technical Services	9899300 *
Inspection	9899301
Cash Transfers	9899350
Advance Commodity Financing	9899370
Progress Payments	9899390
Inland Transportation	9899400 *
US Government Participating Agency Overhead	9899401
Cargo Insurance	9899403
War Risk Insurance	9899404
Forwarding & Inspection Fees	9899405
Air Freight	9899406
Ocean Transportation	9899500 *
* Dispatch Earnings	9899503
Ocean Freight Volag only (Tramp)	9899505 *
Ocean Freight Volag only (Liner)	9899506
Ocean Freight Volag only (Tanker)	9899507
Participant Costs Under L/A	9899650
Mission Loan Disbursement Against AID/W Allotment	9899660
Disbursements Administered by the Export-Import Bank	9899670

*Revised

TABLE 14

PRIVATE AND VOLUNTARY AGENCY (PVO)

*

CODES

General Purpose: The codes are used to identify U.S. and other organizations that are philanthropic or service oriented in purpose, as well as non-profit, non-political, and non-governmental in nature. Not included are universities and other primarily educational institutions and research organizations.

Responsible Office: FVA/PVC

Code Structure/Composition:

Code Structure:

X9999 DECODE - Five-digit alphanumeric code composed of one alpha character followed by four numeric characters.

Code Composition:

X9999

Unique four digit numeric identifier, see Table 14.

DECODE: The single alpha character for classifying PVOs.

A - U.S. Registered PVOs
B - U.S. Cooperatives
C - U.S. Population/Family Planning Organizations
D - U.S. Labor Institutes
G - Registered Third-Country PVOs
H - Non-Registered U.S. PVOs
I - Registered International PVOs
L - Registered Indigenous or Local PVOs

*

* Revised

Table 14

* ORGANIZATIONS BY THEIR DECODE

Key to PVO Classification by decode letter:

A - U.S. Registered PVO.
B - U.S. Cooperatives.
C - U.S. Population / Family Planning Organizations.
D - U.S. Labor Institutes.
G - Registered Third-Country PVOs.
H - Non-Registered U.S. PVOs.
I - Registered International PVOs.
L - Registered Indigenous or Local PVOs.

DECODE	PVO Name
U.S. Registered PVOs.	
A0010	Accion International
A0020	Adventist Development and Relief Agency International
A0026	African Food and Peace Foundation
A0030	African-American Institute
A0031	African-American Society for Humanitarian Aid & Development, The
A0050	African Medical and Research Foundation
A0055	African Methodist Episcopal Church Service & Development Agency, Inc.
A0060	African Wildlife Foundation
A0070	Africare
A0077	AFS Intercultural Programs, Inc.
A0080	Aga Khan Foundation, USA
A0120	Aid to Artisans, Inc.
A0122	Air Serv International
A0125	America's Development Foundation
A0130	America-Mideast Educational & Training Services, Inc.
A0140	American Association for Bikur Cholim Hospital, Jerusalem
A0145	American Association for International Aging
A0155	American College of Nurse Midwives (Special Projects Section)
A0170	American Dentists for Foreign Service

*

* Revised

* DECODE PVO Name

A0172 .... American Farmland Trust
A0175 .... American Friends of Action Internationale Contre la Faim
A0180 .... American Friends of Kiryat Sanz Hospital
A0190 .... American Friends Service Committee
A0210 .... American Jewish Joint Distribution Committee
A0216 .... American Jewish World Service, Inc.
A0220 .... ALM International
A0230 .... American National Red Cross
A0240 .... American Near East Refugee Aid
A0250 .... American Organization for Rehabilitation and Training Federation
A0260 .... American Red Magen David for Israel, Inc.
A0261 .... American Refugee Committee
A0270 .... American Schools of Oriental Research
A0275 .... AmeriCares Foundation, Inc.
A0289 .... Institute for Development Research, Inc.
A0295 .... AMIT Women
A0296 .... Andean Children's Foundation, The
A0298 .... Andean Rural Health Care
A0300 .... Armenian General Benevolent Union Central Committee of America
A0302 .... Armenian Assembly of American Relief Fund, Inc., The
A0304 .... Armenian Relief Society of North America, Inc., The
A0305 .... Armenian Relief Society, Inc., The
A0310 .... Asia Foundation, The
A0312 .... Assistance International, Inc.
A0345 .... Books for the World, Inc.
A0357 .... Phillips Brooks House Association, Inc./World Teach
A0360 .... Brother's Brother Foundation
A0365 .... Brother to Brother International, Inc.
A0370 .... Pearl S. Buck Foundation
A0397 .... Caribbean/Central American Action
A0399 .... Caribbean Conservation Corporation
A0400 .... Catholic Relief Services - USCC
A0410 .... Center for Marine Conservation
A0415 .... Center to Prevent Childhood Malnutrition
A0420 .... Centre for Development and Population Activities, The
A0423 .... Child and Family Services
A0430 .... Chol-Chol Foundation for Human Development
A0435 .... Christian Blind Mission International
A0440 .... Christian Children's Fund, Inc.

*

* DECODE	PVO Name
A0444	Christian Eye Ministry
A0445	Christian Outreach Appeal
A0447	Christian Reformed World Relief Committee
A0450	Church World Service
A0455	Cincinnati Reaches Out
A0465	Community of Caring
A0470	Community Systems Foundation
A0475	Compassion International, Inc.
A0485	Conservation Foundation, The
A0486	Conservation International Foundation, The
A0500	Cooperative for American Relief Everywhere
A0540	Coordination in Development
A0550	Council of International Programs for Youth Leaders & Social Workers
A0554	Covenant House, The
A0560	Daytop Village Foundation
A0570	Dental Health International
A0575	Digit Fund, The
A0580	Direct Relief International
A0600	Domestic/Foreign Missionary Society of the Protestant Episcopal Church
A0610	Thomas A. Dooley Foundation/INTERMED-USA, Inc.
A0620	Tom Dooley Heritage, Inc.
A0630	Doulos Community
A0645	Elwyn Institutes
A0650	Esperanca, Inc.
A0660	Experiment in International Living
A0665	Tissue Bank International
A0666	Evangelical Association for the Promotion of Education, The
A0670	Eye Care, Inc.
A0672	Fair Trade Foundation
A0674	Feed My People International, Ltd.
A0675	Feed the Children
A0677	Florida Association for Voluntary Agencies for Caribbean Action
A0678	Food Corps, USA
A0680	Food for the Hungry, Inc.
A0685	Food for the Poor, Inc.
A0690	Plan International USA
A0697	Foundation for Educational and Social Development in the Americas, The

*

* DECODE1	PVO Name
A0699	Foundation for International Community Assistance, Inc.
A0700	Foundation for the Peoples of the South Pacific, Inc., The
A0705	Freedom Medicine Int'l Health and Development Services, Inc.
A0710	Friends of Children, Inc.
A0715	Friends of Our Little Brothers
A0725	Friends of the Shanta Bhawan
A0726	Gifts-in-Kind America, Inc.
A0760	Goodwill Industries of America / National Office
A0763	Grace Ministries, Inc.
A0765	Greater Caribbean Energy and Environment Foundation, Inc., The
A0769	Green Library, The
A0770	Hadassah
A0777	Haitian Health Foundation, The
A0779	Health Volunteers Overseas, Inc.
A0780	Heifer Project International, Inc.
A0788	Hermandad, Inc.
A0790	Hebrew Immigrant Aid Society, Inc., The
A0800	High Scope Educational Research Foundation
A0810	Holt International Children's Services
A0820	Children International
A0827	Indus Medical Foundation
A0828	Institute for Development Training
A0830	Opportunity International
A0831	Institute for Transportation and Development Policy, The
A0835	Organization for Tropical Studies
A0837	Industrial Cooperative Association, Inc.
A0850	Institute of International Education
A0887	Interamerican Foundation of Cities, Inc.
A0888	Interchurch Medical Assistance, Inc.
A0890	International Agency for Apiculture Development
A0900	International Alliance for Children, Inc.
A0915	International Child Care/USA, Inc.
A0920	International Executive Service Corps
A0930	International Eye Foundation, Inc.
A0935	International Federation for Family Life Promotion
A0938	International Foundation for Education and Self-Help
A0948	International Health and Biomedicine U.K. and U.S.A.
A0950	International Institute of Rural Reconstruction
A0960	International Lifeline, Inc.

*

* DECODE	PVO Name
A0977	International Medical Corps, The
A0978	International Medical Services for Health
A0980	International Nursing Service Association for Health, Inc.
A1010	International Rescue Committee
A1015	International Services of Hope, Inc.
A1021	Int'l Union for the Conservation of Nature & Natural Resources, U.S.
A1030	International Voluntary Services, Inc.
A1040	Island Resources Foundation, Inc.
A1045	Katalysis Foundation, The
A1050	Helen Keller International, Inc.
A1055	Hospital Relief Fund of the Caribbean, Inc.
A1060	La Leche League International
A1070	Laubach Literacy International
A1075	Life Link, The
A1080	Lutheran World Relief
A1090	MAP International
A1100	Freedom from Hunger Foundation
A1105	Medical Benevolence Foundation
A1110	Medical Care Development, Inc.
A1115	Medical Education for South African Blacks, Inc.
A1120	Mennonite Central Committee
A1121	Mennonite Economic Development Associates, The
A1125	Mercy Corps International
A1127	Mercy International Health Services
A1130	Ministry of Jesus, The
A1131	Missions of Mercy, Inc.
A1132	Council for International Development
A1135	Minnesota International Health Volunteers
A1137	Missions for Africa Self-Help Rural Community Development, Inc.
A1139	Missouri Botanical Gardens
A1145	National Association of the Partners of the Americas
A1150	National Council for International Health
A1170	National Council of Negro Women, International Division
A1180	National 4-H Council
A1215	Nature Conservancy, The
A1220	Near East Foundation
A1228	New Israel Fund
A1229	New York Zoological Society
A1230	New York Botanical Garden, The *

* DECODE PVO Name

A1235 .... Medical Teams International, Inc.
A1236 .... Nitrogen Fixing Tree Association
A1240 .... OBOR
A1245 .... Operation Blessing International Relief & Development Corporation
A1250 .... Operation Bootstrap Africa
A1252 .... Operation USA
A1255 .... Operation Smile, Inc.
A1260 .... Opportunities Industrialization Centers International
A1265 .... Our Little Brothers and Sisters
A1267 .... Outward Bound, Inc.
A1270 .... OEF International
A1275 .... Pacific Ministries Developments
A1280 .... Pan American Development Foundation
A1286 .... Park West Children's Fund
A1310 .... People-to-People Health Foundation
A1312 .... Rodale Institute
A1313 .... Peregrine Fund, Inc. World Center for Birds of Prey, The
A1315 .... Trustees of The Phelps-Stokes Fund, The
A1320 .... NA'AMAT USA
A1350 .... Planning Assistance, Inc.
A1352 .... Polish American Congress Charitable Foundation, Inc.
A1353 .... Polish Welfare Association
A1360 .... National Parents Resource Institute for Drug Education, Inc.
A1366 .... Philippine Good Shepherd, Inc.
A1370 .... Private Agencies Collaborating Together
A1375 .... Program for Appropriate Technology in Health
A1390 .... Project Concern International
A1398 .... Project Mercy, Inc.
A1400 .... Project Orbis, Inc.
A1430 .... Dr. Jose P. Rizal/Gen Douglas MacArthur Memorial Foundation
A1435 .... Rotary Foundation of Rotary International
A1436 .... Sabre Foundation, Inc.
A1440 .... Salesian Missions
A1446 .... Salvadoran American Foundation
A1450 .... Salvation Army World Service Office, The
A1453 .... San Diego State University Foundation
A1460 .... Save the Children Federation
A1474 .... Childcare International

*

* DECODE	PVO Name
A1475	Sovereign Military Order of Malta Federal Association, U.S.A.
A1476	Share and Care Foundation for India
A1480	Southeastern Massachusetts SER - Jobs for Progress
A1489	Sudan-American Foundation for Education
A1490	Summer Institute of Linguistics
A1491	Support Centers of America
A1492	Surgical Eye Expeditions International
A1500	Technoserve, Inc.
A1520	Town Affiliation Association of the U.S.
A1526	Transformation International Enterprises, Inc.
A1528	Trees for Life
A1530	Trickle-Up Program, Inc.
A1557	United Board for Christian Higher Education in Asia
A1560	United Israel Appeal
A1570	U.S. Foundation for International Scouting
A1575	United Palestinian Appeal
A1577	United Ukranian American Relief Committee
A1580	United Way International
A1600	Volunteers in Technical Assistance, Inc.
A1609	Maranatha Volunteers International
A1620	Winrock International Institute for Agricultural Development
A1635	Witherspoon International Corporation
A1636	Woodlands Mountain Institute
A1637	Worldcare, Inc.
A1640	World Concern Development Organization
A1649	World Emergency Relief
A1650	World Education, Inc.
A1651	World Mercy Fund
A1670	World Rehabilitation Fund
A1680	World Relief Corporation
A1682	World Resources Institute
A1686	World SHARE, Inc.
A1690	World Vision Relief and Development Organization
A1700	World Wildlife Fund, U.S.
A1708	Yirawah International
A1710	Young Men's Christian Association of the USA, National Board
A1740	Mercy Ships
A1741	American Youth Work Center *

* Revised

* DECODE PVO Name

A1742 .... RARE Center for Tropical Bird Conservation
A1743 .... Resource Foundation, The
A1744 .... International Book Bank, Inc.
A1745 .... International United Black Fund
A1746 .... International Church Relief Fund
A1747 .... National Rural Electric Cooperative Association - International Fnd.
A1748 .... Financial Services Volunteer Corps
A1749 .... Council of International Public Affairs
A1750 .... Trust Through Health
A1753 .... Medical Outreach for Armenians, Inc.
A1756 .... Armenian Assembly of American Relief

U.S. Cooperatives.
B0090 .... Agricultural Cooperative Development International
B0510 .... Cooperative Housing Foundation
B0530 .... National Cooperative Business Association
B0555 .... Credit Union National Association, Inc.
B1200 .... National Rural Electric Cooperative Association
B1590 .... Volunteers in Overseas Cooperative Assistance

U.S. Population / Family Planning Organizations.
C0990 .... International Planned Parenthood Fed/Western Hemisphere Region, Inc.
C1300 .... Pathfinder Fund
C1330 .... Planned Parenthood Federation of America
C1355 .... Population Council, The
C1358 .... DKT International, Inc.
C1364 .... Population Services International

U.S. Labor Institutes.
D0040 .... African-American Labor Center
D0200 .... American Institute for Free Labor Development
D0320 .... Asian-American Free Labor Institute

*

* Revised

✱ DECODE PVO Name

Non-Registered U.S. PVOs.

H5000 .... American Forum for Global Education, The
H5002 .... Atlantic Council
H5003 .... Citizens Network for Economic & Security Assistance
H5004 .... American Association of School Administrators
H5005 .... Consortium for International Cooperation in Health Education
H5006 .... End Hunger Network
H5007 .... Global Learning
H5008 .... Global Tomorrow Coalition
H5009 .... Independent Broadcasting Association
H5010 .... Institute for International Research
H5011 .... InterAction
H5012 .... International Fund for Agricultural Research
H5013 .... National Association of Social Workers
H5014 .... National Committee for World Food Day
H5016 .... National Council of Returned Peace Corps Volunteers
H5017 .... Public Interest Video Network
H5018 .... Society for International Development, Washington Chapter
H5019 .... WGBH TV, Boston
H5020 .... Women Historians of the Midwest
H5021 .... South Carolina Educational T.V.
H5022 .... National Governors' Association
H5025 .... Land O'Lakes
H5027 .... LTS Corps
H5028 .... Interfaith Hunger Appeal
H5029 .... Panos Institute
H5030 .... Young Women's Christian Association
H5031 .... NA Wheat Growers
H5032 .... Population Reference Bureau
H5033 .... Cornell University
H5034 .... American Forestry Association

Registered International PVOs.

I0006 .... International Catholic Migration Commission
I1630 .... Women's World Banking

✱

* DECODE PVO Name

Registered Indigenous or Local PVOs.

L0001 .... Institute for Liberty and Democracy
L0002 .... Chamber of Commerce & Industry of Cortes
L0003 .... Association Burkinabe pour le Bien Etre Familial
L0004 .... Society For Project Implementation, Research Evaluation & Training
L0005 .... JTS National Youth Association
L0006 .... Bangladesh Birth Control and Family Welfare Association
L0007 .... Family Development Services and Research
L0008 .... Family Planning Association of Bangladesh
L0009 .... International Center for Diarrhoeal Disease Research, Bangladesh
L0010 .... Interfaith Relief Committee of Burma
L0011 .... Secretariate For Village Guidance, The
L0012 .... Foundation For Self-Reliance Guidance, The
L0013 .... Institute for Social & Economic Research Education & Information
L0014 .... Institute for development Studies
L0015 .... Institute for Education & Management Guidance
L0016 .... Agribusiness Development Center
L0017 .... Indonesian Environmental Forum
L0018 .... Foundation for the Welfare of Indonesia
L0019 .... Functional Cooperative Center for Women, East Java
L0020 .... Christian Foundation for General Health
L0021 .... Kusuma Buana Foundation
L0022 .... Light of the Village Foundation
L0023 .... Indonesian Institute for Legal Assistance
L0024 .... Maha Bhoga Marga Foundation
L0025 .... Jordan Association For Family Planning & Protection, The
L0026 .... East Timor Agricultural Development Fdn
L0027 .... Industrial Foundation for the Prevention of Occupational Hazards
L0028 .... Honduran Family Planning Association
L0029 .... Foundation for Village Community Development
L0030 .... Coptic Evangelical Organization for Social Services
L0031 .... Nepal Red Cross Society
L0032 .... Nepal Pediatric Society
L0033 .... Mrigendra Medical Trust
L0034 .... Business and Professional Women's Club
L0035 .... Nepal Law Society
L0036 .... Actuator for Socio-Economic Progress, Inc. *

* Revised

✱ DECODE PVO Name

L0037 .... Andres Soriano Foundation, The
L0038 .... Boy Scouts of the Philippines
L0039 .... Catholic Educational Association Of The Philippines
L0040 .... Communication Foundation for Asia
L0041 .... Dansalan College Foundation
L0042 .... Development of People's Foundation, Inc.
L0043 .... Economic Development Foundation
L0044 .... Ecumenical Development Center for Youth Foundation, Inc.
L0045 .... Ecumenical Foundation for Minority Development
L0046 .... Federation of Electric Cooperatives of the Philippines
L0047 .... Fdn for Educational Evolution & Development
L0048 .... Foundation for Youth Development
L0049 .... Francisco Tirona Benitez Rurban Dev. Fdn.
L0050 .... Freedom to Build, Inc.
L0051 .... Girl Scouts of the Philippines
L0052 .... ILAW International Center
L0053 .... Innovative Services Specialists Development Inc.
L0054 .... Innovators For Rural Development
L0055 .... Jaime V. Ongpin Foundation, Inc.
L0056 .... Judge Isaac Puno, Jr. Memorial Foundation Inc
L0057 .... Kalahan Educational Foundation, Inc.
L0058 .... Kapwa Upliftment Foundation, Inc. Ateneo De Davao University
L0059 .... Manila Seedling Bank Foundation, Inc
L0060 .... Medical Ambassadors Philippines
L0061 .... Mother Rosa Memorial Foundation, Assumpta Technical High School
L0062 .... Negros Economic Development Foundation
L0063 .... Notre Dame Educational Association - c/o Notre Dame Of Dadiangas College
L0064 .... Notre Dame Foundation For Charitable Activities
L0065 .... Nutrition Center Of The Philippines - South Super Highway
L0066 .... Pagtambayayong Foundation
L0067 .... Paninindeg Sa Ranao Of Rural Workers, Inc.
L0068 .... Philippine Association For Intercultural Development, Inc.
L0069 .... Philippine Business For Social Progress
L0070 .... Philippine Foundation For Cultural & Educational Development, Inc.
L0071 .... Philippine Relief And Development Services, Inc.,
L0072 .... Pilipinas Shell Foundation, Inc., Shell Home Makati
L0073 .... Population Center Foundation

✱

* DECODE	PVO Name
L0074	Ramon Aboitiz Foundation, Inc.
L0075	Ranaw Development Foundation, Inc.
L0076	Funza
L0077	Asociacion de Gerentes de Guatemala
L0078	Sama International Trust
L0079	Grassroots Educare Trust
L0080	AVOTRA
L0081	Habitat Foundation
L0083	Organizacion Nacional Agraria
L0084	Royal Society for the Conservation of Nat, The
L0085	Saint James Foundation, Inc.
L0086	St. Louis University Extension Institute For Small Scale Industries Fdn.
L0087	Santa Cruz Mission
L0088	Sariling Sikap, Inc.
L0089	Small Enterprises Research & Development Foundation of the Philippines
L0090	South Cotabato Foundation, Inc.
L0091	Tahanan Outreach Project And Services, Inc.
L0092	Tahanan Walang Hagdanan Marick Subdivision
L0093	Tulay Sa Pag-Unlad, Inc.
L0094	Ugmad Foundation, Inc
L0095	Videre, Inc.
L0096	Women In Finance & Entrepreneurship Philippines, Inc.
L0097	Xavier Science Foundation, Inc., Xavier University
L0098	Young Men's Christian Association
L0099	Young Women's Christian Association
L0100	Sri Lanka Technical Institute
L0101	Yahapath Endera Farming Center
L0102	Lanka Mahila Samithi
L0103	Marga Institute
L0104	Sukitha Welfare Society
L0105	Lanka Jathika Sarvodaya Sangamaya
L0106	National Builders Association
L0107	All Ceylon Buddhist Congress
L0108	National Council Of YMCA'S Of Sri Lanka, The
L0109	Fridsro Childrens's Home, The
L0110	Lasallian Community Education Services, The
L0111	Central Council Of Social Services
L0112	Ootru Organization, The
L0113	Lanka Evangelical Alliance Development Serv. *

* Revised

* DECODE PVO Name

L0114 .... Wild Life And Nature Protection Society Of Sri Lanka
L0115 .... Welfare Society Of The School For The Mentally Sub-Normal Child, The
L0116 .... Planned Parenthood Association Of Thailand, The
L0117 .... YMCA Bangkok
L0118 .... Mae Fah Luang Foundation
L0119 .... National Council Of Women Of Thailand, The
L0120 .... Population & Community Development Assoc.
L0121 .... Svita Foundation
L0122 .... National Young Women's Christian Association Of Thailand
L0123 .... Friends Of Women's World Banking Association Of Thailand
L0124 .... Christian Womens Department, The Foundation Of The Church Of Christ In Thaila
L0125 .... Pan Pacific And South-East Asia Women's Association Of Thailand, The
L0126 .... National Council Of Social Welfare Of Thailand, The
L0127 .... Women Lawyers Association Of Thailand
L0128 .... Wildlife Fund Thailand
L0129 .... Duang Prateep Foundation
L0130 .... Rural Friends' Association
L0131 .... Thai Environmental And Community Development Association
L0132 .... Foundation of Education for Life & Society
L0133 .... General Union Of Voluntary Societies
L0134 .... Noor Al Hussein Foundation, The
L0135 .... Moroccan Family Planning Association
L0136 .... Happy Hour, The
L0137 .... Horumarin
L0138 .... Ethiopian Orthodox Church
L0139 .... Mazingira Institute
L0140 .... Kenya Freedom From Hunger Council
L0141 .... Kenya Management Assistance Program
L0142 .... Kenya Rural Enterprise Program, The
L0143 .... Kenya Society For The Blind, The
L0144 .... PGHA Choboria Hospital
L0145 .... Christian Organizations Research Advisory Trust
L0146 .... Family Planning Association Of Kenya
L0147 .... Christian Health Association Of Kenya
L0148 .... Christian Industrial Training Centers
L0149 .... Christian Community Services
L0150 .... Voluntary Agencies Development Assistance
L0151 .... Christian Health Association Of Liberia *

* DECODE PVO Name

L0152 .... Partnership For Productivity/Liberia
L0153 .... West Point Community Development Cooperative
L0154 .... Liberia Opportunities Industrialization Center
L0155 .... Cooperative Training And Research Center
L0156 .... Haqabtir "Meeting Needs"
L0157 .... Sudanaid
L0158 .... Manzini Industrial Training Centre
L0159 .... Council Of Swaziland Churches
L0160 .... Water For Life
L0161 .... Family Life Association Of Swaziland
L0162 .... Asociacion Peruana para la Conservacion de la Naturaleza
L0163 .... Carvajal Foundation
L0164 .... Columbian Solidarity Groups Association
L0165 .... Foundation For Higher Education
L0166 .... Profamilia
L0167 .... Santa Fe De Bogota Foundation
L0168 .... Second Botanical Expedition Foundation
L0169 .... Solidarity Action Foundation
L0170 .... Costa Rican Association For Development Organizations
L0171 .... Costa Rican Demographic Association
L0172 .... Neotropica Foundation
L0173 .... Foundation For The Economical And Social Development
L0174 .... Church World Service
L0175 .... Popular Culture Association, Inc.
L0176 .... American Development Foundations Council
L0177 .... Dominican Development Foundation
L0178 .... Action Pro-Education And Culture
L0179 .... Development Association, Inc
L0180 .... Social Action For The Promotion Of Rural Dwellers
L0181 .... Dominican Association For The Well Being Of The Family, Inc.,
L0182 .... Community Development Foundation
L0183 .... Dominican-American Cultural Institute
L0184 .... Micro-Business Development Association
L0185 .... San Jose Foundation, Inc
L0186 .... Foundation For The Development Of Rural Youth
L0187 .... Dominican University Foundation
L0188 .... Inter-Institutional Coordination Of Housing Program
L0189 .... Association For The Development Of The Prof. Of Espaillat
L0190 .... Women In Development
L0191 .... Dominican Institute Of Integral Development

*

*

DECODE	PVO Name
L0192	National Council Of Businessmen
L0193	Dominican Scouts Association
L0194	Dominican Center Of Social Interest Org.
L0195	Dominican Association Of Univ. Presidents
L0196	Natura Foundation
L0197	Center For Counseling And Motivation
L0198	Ecuadorian Cooperative Institute For Education And Development
L0199	National Federation Of Savings And Loan Cooperative Of Ecuador
L0200	Eugenio Espejo Foundation
L0201	Working Boy's Center, The
L0202	Ecuadorian Society Of Public Health
L0203	Foundation For Education Genoveva German
L0204	National 4-F Foundation
L0205	Ecuadorian Private Banking Association
L0206	Institute Of Banking And Financial Practices
L0207	Jose Joaquin De Olmedo Foundation
L0208	National Institute For The Child And Family
L0209	San Patricio Youth Center
L0210	Guayaquil Chamber Of Commerce
L0211	Guayaquil Board Of Beneficence
L0212	Private Foundation Wilson Popenoe
L0213	National Federation Of Coffee Cooperatives Of Ecuador
L0214	Science Foundation
L0215	Chamber Of Small Industries Of Guayas
L0216	Our Youths Foundation
L0217	Chamber Of Small Industries Of Pichincha
L0218	Foundation For Agricultural And Livestock Development
L0219	National Association Of Enterpreneurs
L0220	Institute For Agricultural Studies
L0221	Salvadoran Demographic Association
L0222	Salvadoran Foundation For Economic And Social Development
L0223	Foundation of Entrepreneurs for Education Development
L0224	Foundation Pro-Rehabilitation
L0225	National Association Of Knights Of Malta
L0226	Association For Juvenile Development
L0227	Center For Technological And Scientific Research
L0228	Salvadoran Evangelical Committee For Development And Assistance
L0229	Salvadoran Maternal Lactation Promotion Center

*

* DECODE PVO Name

L0230 .... Opportunity Industrialization Center
L0231 .... Association of Private Health Organizations
L0232 .... Association for the Prevention of Alcoolism & Drug Abuse
L0233 .... Center for Development & Health
L0234 .... Haitian Research Center for Women Promotion
L0235 .... Medico Social Complex of Cite Soleil
L0236 .... Baptist Convention Of Haiti
L0237 .... Haitian Christian Community Development
L0238 .... Haitian Foundation for Health & Education
L0239 .... Haitian American Chamber Of Commerce
L0240 .... Haitian Health Foundation
L0241 .... Haitian Association Of Voluntary Agencies
L0242 .... Haitian Development Foundation
L0243 .... Human Resources Development Center
L0244 .... Integrated Rural Development
L0245 .... Child Health Institute
L0246 .... Management Productivity Center
L0247 .... Total Reforestation
L0248 .... Organization for the Rehabilitation of the Environment
L0249 .... Haitian Society for Studies & Implementation of Agriculutral Project
L0250 .... Union of Cooperatives for the South
L0251 .... Haitian Red Cross
L0252 .... Zin D'Art
L0253 .... National Development Foundation, The
L0254 .... Council Of Voluntary Social Services, United Way Of Jamaica
L0255 .... Northwest Medical Teams
L0256 .... Dynamic Tech. Assistance for Microenterprises
L0257 .... Mexican Family Planning Foundation
L0258 .... Youth Family Planning Council
L0259 .... Mexican Health Foundation
L0260 .... Development & Research in Family Planning
L0261 .... Miguel Aleman Foundation
L0262 .... Mexican Federation of Private Family Planning Association
L0263 .... Orientation Center for Young Adults
L0264 .... Mexican Entrepreneur Development
L0265 .... Youth Center in San Miguel De Allende
L0266 .... Mexican Academy for Research in Medical Demography
L0267 .... Mexican Family & Population Institute
L0268 .... Private Voluntary Association (PVO-Mexico, A.C.) *

* Revised

* DECODE PVO Name

L0269 .... Murrieta Foundation
L0270 .... Cortes Chamber Of Commerce & Industry
L0271 .... Hermandad De Honduras
L0272 .... Honduras Family Planning
L0273 .... Hounduran Federation Of Private Voluntary Organizations
L0274 .... Partners of the Alliance
L0275 .... National Association of Industrialists
L0276 .... Advisors For Development
L0277 .... National Foundation For The Development Of Honduras
L0278 .... Association For Socio-Economic Promotion And Development
L0279 .... Consejo Del Sector Privado Para La Asistencia Educacional
L0280 .... Patronato Nacional De La Juventud Rural Panamena
L0281 .... Cruz Blanca Panamena
L0282 .... Centro Paraguayo De Estudios Sociologicos
L0283 .... Partners Of The Americas-Comite Paraguay- Kansas
L0284 .... Liga Paraguaya De Los Derechos De La Mujer
L0285 .... Asociacion Cristiana De Jovenes
L0286 .... United Christian Missionary Society, The
L0287 .... Fundacion Paraguaya De Cooperacion Y Desarrollo
L0288 .... Caritas of Peru
L0289 .... Faith and Happiness
L0290 .... Projects in Information, Health, Medicine and Agriculture
L0291 .... Center for Information and Education on the Prevention of Drug Abuse
L0292 .... Institute for Education Services and Environmental Development
L0293 .... Community Action of Peru
L0294 .... Association for Cooperation with Campesina Women
L0295 .... Movement for Women's Rights
L0296 .... Halfway Home for Youth Rehabilitation
L0297 .... Asociacion Obras De Bien Comun
L0298 .... Marcelino Institute
L0299 .... Hipolito Unanue Institute
L0300 .... Research & Rural Development Center
L0301 .... Association for Rural Development of Cajamarca
L0302 .... Population Programs Support
L0303 .... Peruvian Evangelical Service for Social Action
L0304 .... Peruvian Institute for Educational Developemt
L0305 .... Peruvian Foundation for the Conservation of Nature, The
L0306 .... Barbados Institute Of Management And Productivity
L0307 .... National Development Foundation Of Dominica

*

* DECODE PVO Name

L0308 .... Caribbean Conservation Association
L0309 .... Caribbean Association Of Industry & Commerce
L0310 .... National Development Foundation Of Belize
L0311 .... Breast Is Best League
L0312 .... Belize Family Life Association
L0313 .... Council For Voluntary Social Services
L0314 .... Belize Chamber Of Commerce & Industry
L0315 .... Belize Enterprise For Sustained Technology
L0316 .... Foundation For Micro Enterprise Promotion And Development
L0317 .... Faith And Happiness
L0318 .... Center for Research of Greater Land use Capacity
L0319 .... Church Of Christ In Zaire
L0320 .... Diocese Of Idiofa
L0321 .... United Methodist Community Of Southern Zaire
L0322 .... Diocese Of Kisantu
L0323 .... Society Of Jesus
L0324 .... Diocese Of Dungu-Doruma
L0325 .... Diocese Of Butembo Beni
L0326 .... Catholic Social Welfare Of Bunia
L0327 .... Diocese Of Kole
L0328 .... International Association For Rural Development In Zaire
L0329 .... Diocese Of Kabinda
L0330 .... Chamber of Entrepreneurs
L0331 .... Penny Foundation
L0332 .... Foundation For The Integral Development Of Socioeconomic Programs
L0333 .... Federation Of Private Entities Of Central America And Panama
L0334 .... Fundacion Mexicana Para El Desarrollo
L0335 .... Fundacion Chiapaneca Miguel Alvarez Del. Toro La Proteccion Be La
L0500 .... Caribbean Family Planning Affiliation Ltd
L0501 .... Operation Hunger
L0502 .... Zimbabwe Trust
L0503 .... Fundacion Para El Desarrollo Del Agro
L0504 .... Honduran Council For Private Enterprise
L0505 .... Liberia Credit Union National Association
L0506 .... Chilean American Cultural Institute
L0507 .... Christian Foundation For The Blind In Thailand, The
L0508 .... Centre De Foundation Et. De Recherche Cooperative
L0509 .... Belize Institute Of Management *

* DECODE	PVO Name
L0510	Fondation Tunisienne pour le D'eveloppement Communautaire
L0511	Sri Jinarathana Adhyapana Ayathana Palaka Sabhawa
L0512	Yayasan Lembaga Konsumen Indonesia
L0513	Association For Craft Producers
L0514	Yayasan Mandiri
L0515	Tenwek Hospital
L0516	Hindu Board of Education, The
L0517	Yayasan Swadaya Membangun
L0518	PRONATURA
L0520	Family Planning Association of Liberia
L0521	Funda Familia
L0522	Fundacion Universo Veintiuno
L0523	CETEI
L0524	Caderh *

TABLE 15

BUREAU NAME AND BUREAU SYMBOL

General Purpose

These codes are contained in the Decode File and used by many of the automated data Bases that support Agency project and budget activity.

Responsible Office

PPC/PB/PDS

✱ Part I

BURNAME 01	Bureau for Program and Policy Coordination
BURNAME 03	Office of International Training
BURNAME 04	Bureau for Asia/Near East and Europe
BURNAME 05	Bureau for Latin America and the Caribbean
BURNAME 06	Bureau for Africa
BURNAME 09	Bureau for Management Services
BURNAME 15	Bureau for Science and Technology
BURNAME 16	Office of the Administrator
BURNAME 17	Office of the Executive Secretary
BURNAME 21	Office of Inspector General
BURNAME 22	Office of Legislative Affairs
BURNAME 24	Office of General Counsel
BURNAME 25	Bureau for Personnel and Financial Management
BURNAME 26	Office of Equal Opportunity Programs
BURNAME 27	Office of Financial Management
BURNAME 28	Bureau for Food and Peace and Voluntary Assistance
BURNAME 29	Bureau for Asia and Private Enterprise
BURNAME 30	Office of US Foreign Disaster Assistance
BURNAME 31	Office of Small and Disadvantaged Business Utilization
BURNAME 34	Office of the Science Advisor
BURNAME 40	Bureau for External Affairs
BURNAME 99	Other

Part II

BURSYMBL01	PPC	BURSYMBL24	GC
BURSYMBL03	OIT	BURSYMBL26	EOP
BURSYMBL04	ANE	BURSYMBL27	FM
BURSYMBL05	LAC	BURSYMBL28	FVA
BURSYMBL06	AFR	BURSYMBL29	APRE
BURSYMBL09	MS	BURSYMBL30	OFDA
BURSYMBL15	S&T	BURSYMBL31	SDBU
BURSYMBL16	A/AID	BURSYMBL34	SCI ADV
BURSYMBL17	ES	BURSYMBL40	XA
BURSYMBL21	IG	BURSYMBL99	OTHER ✱
BURSYMBL22	LEG		

✱ Revised

TABLE 16

AID/WASHINGTON ORGANIZATION/COST CENTER CODES

GENERAL PURPOSE: This table is used in the Budget Plan Code and will allow for budgeting and management of funds as low as the "Division" level. In those few instances where management of funds or identification of costs is required below this level, the function code may be used to identify these cost centers. The five-digit organization code for the most part is identical to the first five digits of the AID/W organization codes and the AID overseas organization codes as listed in Appendix 1 and Appendix 4 of AID Handbook 17, respectively.

* RESPONSIBLE OFFICE: Financial Systems Division, Office of Financial Management (FM/FSD) *

The Organization Code Segment of the Budget Plan Code is structured as follows:

10000	AID/Washington
20000	USAID managed funds
30000	AID/Washington managed funds benefiting a USAID
40000	Allocations to other Agencies
70000	Other Agency Funds managed in AID/W
80000	Other Agency Funds managed by a USAID
90000	Other Agency Funds managed in AID/W but benefiting an overseas location

*Effective October 1, 1981

* Revised

TABLE 17

FUNCTION CODES

GENERAL PURPOSE: The function code is a four position alphanumeric code. The code provides a classification system for Program Funds, Unappropriated Funds, AID Operating Expenses, and AID operating expenses for the Office of the Inspector General.

* RESPONSIBLE OFFICE: Projects: Funds Control Division, Office of Financial Management (FM/FCD), Budget: OE: (PPC/SB) *

STRUCTURE:

Program Funds will be classified as follows:

X X XX

XX — A two digit specific purpose code.

X — Will indicate "L" or "G" for Loan or Grant funds.

X — Major category or Function. A through K are reserved for Program funds: A through G, when used in conjunction with the Development Assistance (DA) appropriation, will identify the major "Functional" categories of the Foreign Assistance Act for FY 1986 and prior years *

* For Program Funded Local Support (Operating Type Usage) the Function Code will Be U000 in FY 87 and subsequent years. Other DA allowance codes for FY 87 will begin with a K - no function specified.
*

Program Funded Local Support and
Operating Expense Funds will be classified as follows:

X XXX

XXX — A three digit specific purpose . The code will be exclusive within each major functional category. The codes will "chain-up" to the next more general category of expense until it reaches the major functional category.

X — Major Functional category. N through W are normally used only for OE funds. However, these functional categories may also be used with other appropriations when suitable for identifyinq administrative or operating type expenses: e.g., management or other Agency funds.

* Revised

Unappropriated/Revolving Funds will be identified as follows:

X XXX

A three digit specific purpose or program identification code.

M Management, Unappropriated or Dollar Trust Funds
X Excess Property

FUNCTION CODES
PROGRAM FUNDS

The first position of the function/code is assigned as follows:

A. Agriculture, Rural Development and Nutrition, Fiscal Years 1986 and prior

B. Population Planning, Fiscal Years 1986 and prior

C. Health Development Assistance, Fiscal Years 1986 and prior

D. Technical Assistance, Energy, R & R, Fiscal Years 1986 and prior

E. Education & Human Resources, Fiscal Years 1986 and prior

F. Child Survival, Fiscal Years 1986 and prior

G. Unassigned

H. Humanitarian Assistance

J. Unassigned

K. No function specified

FUNCTION CODES
PROGRAM FUNDS
(Cont.)

Position 2 is assigned as follows:(*)

G. Grant

L. Loan

(*) Program Supported "Local" Costs of an Operational Nature i.e., OE will use the appropriate function codes in the section on Operating Funds.

Positions 3 and 4 are used for various specific purpose codes as follows:

00 Not classified

10 Project Assistance (*)

11 Interregional Projects (*)

12 Regional Projects (*)

13 Country Projects (*)

14 Sub-Regional Projects (*)

15 Country Projects (Grant), AID/W Accounting Station (*)

17 Regional Projects

18 Technical Assistance Projects, Fiscal Years 1981 and prior

19 Capital Assistance Projects, Fiscal Years 1981 and prior

30 Nonproject (Program) Assistance

31 Cash Transfers

32 Commodity Import Program

33 Ocean Freight - PVO Donated Commodities

34 Ocean Freight - P.L. 480 Commodities

35 Inland Freight - P.L. 480 Commodities

(*) Project Number required

36 Freight - World Food Program

37 Freight, IEFR

38 Internal Transportation Distribution

39 Nonproject - Miscellaneous

3A Ocean Freight

3B Farmer to Farmer

40 Disaster, Reconstruction, Refugees

41 World-Wide Disaster Assistance

42 Assistance to Refugees

43 Reconstruction & Rehabilitation

44 Disaster Assistance Stockpile

45 Disaster Assistance Preparedness

46 Disaster Assistance Early Warning

50 International Organizations

51 Technical Assistance - Int'l Organ.

52 Contributions to Int'l Organ.

60 Support Activities

61 Program Development & Support

62 Evaluation

63 PD&S - Country Projects

64 PD&S - Subregional Projects

70 Special Activities

71 TDP (Sec 661)

72 Classified

80 Miscellaneous

81 Closeout Activities

82 Reserve for Claims

83 Rescheduled Loan Receivables

90 Undistributed

Note: Codes 10, 30, 40, 50, 60, 70, 80, & 90 will not be used to code an obligation or budget allowance, but will be used for subtotaling of specific purpose codes within the more general category.

FUNCTION CODES
OPERATING EXPENSES

The first position of the function code is assigned as follows:

N Payroll Related Costs

P IRM Support Services

Q Undistributed Expenditures

R General Support Services

S Staff Training

T AID/W Funded Travel

U Overseas Mission Allowances

V All Other Categories

W Unassigned

The remaining 3 positions are assigned within each alpha code to provide budget details necessary for management and reporting of specific functions.

OPERATING EXPENSE FUNCTION CODES

Activity	Code
Payroll Related Costs	
F.S. Retirement & Disability Fund	N000
Salaries and Benefits	N100
IPAs/Details-In	N200
Joint Career Corps	N300
IRM Support Services	P000 *
Contractual Support Services	P100 *
System Analysis Services	P110 *
CORE - AID/W	P111
CORE - Overseas	P112
IRM Studies & Evaluations	P113
Other Requirements	P119
System Maintenance Services	P120 *
CORE - AID/W	P121
CORE - Overseas	P122
Other Requirements	P129
Technical Support Services	P130 *
CORE - System Program/User Help	P131
CORE - Resources Center	P132
ADP Security	P133
Other Requirements	P139
Operations Services	P140 *
CORE - Computer Operations	P141
CORE - AID/W Procurement	P142
CORE - Overseas Procurement	P143
Directives Management	P144
Multi-Service Centers	P145
Other Requirements	P149

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Other Contractual Services	P150 *
Microfilming	P151
Computer Logistics	P152
Card Sort	P153
Commercial Time-Sharing	P160
Equipment Lease & Maintenance	P200 *
Central Support Equipment	P210 *
Central Computer Configuration	P211
WANG-VS Configuration	P212
System Software	P213
User Resources	P220 *
Work Stations	P221
Software	P222
Equipment Purchase	P300 *
Central Support Equipment	P310 *
Central Computer Configuration	P311
WANG-VS Configuration	P312
System Software	P313
User Resources	P320 *
Work Stations	P321
Software	P322
Supplies and Materials	P400
Telecommunications Services	P500 *
Equipment	P510
Software	P520
Technical Support Services	P530

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Undistributed Expenditures	Q000 *
Department of State Support Services	Q100 *
Foreign Affairs Admin. Support	Q110
Other Department of State Support	Q120
U.S. Dispatch Agent Fees	Q200 *
Dispatch Agent Fees for USAIDS	Q210
Dispatch Agent Fees for AID/W	Q220
Payment to the Department of Labor	Q300 *
Employee Compensation Claims (BEC)	Q310
Unemployment Trust Fund	Q320
Payments to DOD - Postal Services	Q400
Claims	Q500 *
Medical Claims	Q510
Personal Property Claims	Q520
Tort Claims	Q530
Foreign National Health Insurance	Q540
Other Claims	Q550
Storage of HHE	Q600
Home Service Transfer Allowance	Q700
Interest Penalty	Q800
General Support Services	R000 *
Communications & Records Mgt.	R100 *
Telecommunications	R110 *
Equipment	R111
Maintenance	R112
Supplies	R113
Management Systems Development	R114

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Commercial Telegram Services	R120
Agency Postal Fees	R130
Internal Mail Operations	R140 *
Equipment	R141
Supplies	R142
Courier Services	R143
Equipment Maintenance	R144
Multi-Service Center (GOCO)	R145
Facsimile Transmission Network	R150 *
Equipment	R151
Supplies	R152
Equipment Maintenance	R153
Motor Pool Operations	R160 *
Vehicle Rental	R161
Gas & Oil	R162
Records Management	R170 *
Micrographics Records System	R171
Records Skills Program	R172
Contract Services	R173
Records Filing Equipment	R174
Records Declassification Svcs.	R175
Micrographics Maintenance	R176
Microfilm Equipment & Services	R177
Travel & Transportation Mgt.	R200 *
Transportation Management	R220 *
U.S. Despatch Agent Fees	R221
Transportation Data System	R222
Packing & Inspection Services	R223
Storage Services	R224

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Publications Management	R300 *
Gov't Document Procurement	R310 *
Congressional Publications	R311
Recurring Publications	R312
Nonrecurring Publications	R313
Small Business Publications	R314
Commercial Printing	R320 *
Congressional Presentation	R321
AID Forms	R322
AID Handbooks	R323
Recurring Reports	R324
Nonrecurring Reports	R325
In-House Printing	R330 *
Equipment	R331
Equipment Maintenance	R332
Paper and Other Supplies	R333
Copy Machine Network	R340 *
Equipment Purchase	R341
Equipment Rental & Maintenance	R342
Paper & Other Supplies	R343
Contract Art and Graphics	R350 *
Photo Services	R351
Graphics	R352
Awards and Certificates	R353
Map and Picture Mountings	R354
In-House Art and Graphics	R360 *
Equipment Maintenance	R361
Equipment Purchase	R362
Supplies	R363

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Distribution	R370 *
Equipment Maintenance	R371
Equipment Purchase	R372
Supplies	R373
Resources Management	R400 *
Rent & Utilities, Washington, D.C.	R410 *
New State	R411
Universal North	R412
Columbia Plaza	R413
515 22nd St., N.W. (SA-2) (GSA Lease)	R414
515 22nd St., N.W. (SA-2) (AID Lease)	R415
New Building	R416
Rent & Utilities, Va. & Field	R420 *
Architects (SA - 8)	R421
Rosslyn Plaza C	R424
Rosslyn Plaza E	R425
Warehouse	R426
Twin Towers II	R429
Space Maintenance & Modernization	R430 *
Maintenance	R431
Modernization Program	R432
Security Services	R433
Floor Covering Purchase	R434
Floor Covering Installation/Maint.	R435
Overtime Utilities	R436
Cabling & Equipment Moves	R438
Space Mgt. Contract Services	R439
* Property Management	R440 * *

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Nonexpendable Property	R450 *
Furniture Replacement	R451
Furniture Rehabilitation	R452
Typewriter Replacement	R453
Other Equipment Purchase	R454
Machine Repairs & Maintenance	R455
Automation Support Equipment	R457
Expendable Supplies	R460 *
GSA Store Purchases	R461
Commercial Purchases	R462
Petty Cash	R463
Books	R464
Subscriptions	R465
Automation Supplies	R466
Miscellaneous Contractual Services	R470 *
Health Services	R471
Translation Services	R472
Registration & Membership Fees	R473
Lounge Services	R474
Shuttle Bus Service	R476
Transportation of Things	R477
Management Support	R478
Other Services	R479
* Resources Management - Communications	R500 *
GSA Charges	R540
FTS Calls	R541
GSA Local Charges	R542
WITS Charges	R543
CENTREX Charges	R544
System 85 - Charges	R550
Long Distance Toll Call	R551
Long Chg/Mess Units	R552
Common Chg/Shared System Cost	R553
DTU (shared) Overhead Cost	R554 *

* Summary Level Function Code. Not to be used on Obligating Documents.

* Revised

Activity	Code
* Equipment Lease/Purchase	R556
Service Charges/Workorder Etc.	R557
Working Capital Fund Overhead	R558
Other System 85 Charges	R559
C&P Charges	R560
Long Distance/Credit Cards	R561
Local Charges/Calls	R562
Regular Service Charges	R563
CENTREX System for SA-8A	R564
Modem/Data Line Charges	R565
Equipment Lease/Purchase	R566
Equipment/Maintenance	R569
AT&T Charges	R570
Long Distance	R571
Local Charges	R572
Regular Service Charges	R573
Toll Free Services	R574
Modem/Data Line Charges	R575
Equipment Lease/Purchase	R576
Equipment/Maintenance	R579
Other Telephone & Data Charges	R580
IRM Equip. Purch-Non-AT&T/C&P	R581
IRM Equip. Maint-Non-AT&T/C&P	R582
METRO Call Beepers	R588
Main State/SA-1 Renovation	R900
Data Entry at 2nd-digit level *	

* Revised

Activity	Code
Staff Training	S000 *
* Employee Entry Programs	S100 *
Admin./Secretarial/Clerical	S110 *
IDI Program	S120 *
New Entry Programs	S130 *
Area/Country Studies	S140 *
Language Training & Testing	S200 *
Language Training - FSI/W	S210 *
Post-Language Training	S220 *
Language Proficiency Tests	S230 *
Commercial Language Training	S240 *
Project/Program Management Training	S300 *
Project Design	S310 *
Project Implementation	S320 *
Middle Management Skills	S330 *
Technical Training Programs	S400 *
Agriculture - Food Production	S410 *
Nutrition Strategies	S420 *
Health and Population	S430 *
Private Enterprise	S440 *
Economic Training	S450 *
Energy and Development	S460 *
Human Resources/Rural Development	S470 *
Financial Management & Analysis	S480 *
Agro-Forestry Training	S490 *
FSN Training	S500
GSO Seminars for FSNs	S510 *
FSN Personnel Management	S520
Self Study Programs	S600 * *

* Summary Level Function Code. Not to be used on Obligating Documents.

* Revised

Activity	Code
* Professional Development	S700 *
Long-Term Training Program	S710 *
Executive Development	S720 *
Development Studies Program	S730 *
AID Senior Management Course	S740 *
Administrative Mgt. Training	S800 *
Supervisor's Role in Pers. Mgt.	S810 *
ADP Training	S820 *
Word Processor Training	S830 *
Administrative/Secretarial/Clerical	S840 *
Short-Term Training	S850 *
Contract Management	S860 *
Performance Management	S870 *
Professional Career Management	S880 *
Support Services	S900 *
Audio Visual Support & Production	S910 *
Grants - Dependent Care	S920 *
Evaluation of Training Program	S930 *
New Project Design	S940 *
Support to Overseas Missions	S950 *
Resource Library & Learning Lab.	S960 * *
AID/W Funded Travel	
Impact Evaluation Travel (Prior Years)	T100 *
Disaster Assistance Travel (Prior Year)	T200 *
Personnel Support Travel	T300 *
Pre-Employment Invitational Travel	T310
IDI Travel	T320
IMI Travel	T330
Retirement Travel	T340

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Assignment to AID/W Travel	T350
FS Evaluation Panel Travel	T360
Language Training Travel	T370
Other Personnel Support Travel	T380
Taxis	T400
AID/W General Travel	T500 *
Site Visits - Proj /Prog/ Support	T510 *
Project/Program Design/Development	T511
Project/Program Implementation	T514
Project/Program Review/Evaluation	T517
Site Visits for Admin. Support	T530
Conferences/Seminars/Meetings	T550 *
Project/Program Meetings	T551
Nonproject/Program Meetings	T552
Speeches and Presentations	T553
Project/Program Conferences	T554
Nonproject/Program Conferences	T555
Invitational Travel	T560
Non-Advisory Committee Exp /Consult	T570
Advisory Committee	T580 *
Travel by Expert/Consultants	T581
Other Advisory Committee Travel	T582
Other General Travel	T590 *
Orientation Travel	T591
All Other Travel	T592
Reserved	T600
Africa Drought (Prior Years)	T700
Reserved	T800

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Special Travel	T900 *
Site Visit	T910
Information Meetings	T920
Speeches and Presentations	T930
Conference Attendance	T940
Invitational Travel	T950
Other Special Travel	T960
Overseas Mission Allowance	U000 *
U.S. Direct Hire Costs	U100
U.S. Full Time Basic Pay	U101
PT/Temp U.S. Basic Pay	U102
Differential Pay	U103
Other AID/W Funded Code 11	U104
Other Mission Funded Code 11	U105
Education Allowances	U106
Retirement - U.S.	U107
Living Allowances	U108
Other AID/W Funded Code 12	U109
Other Mission Funded Code 12	U110
Post Assignment - Travel	U111
Post Assignment - Freight	U112
Home Leave - Travel	U113
Home Leave - Freight	U114
Education Travel	U115
R & R Travel	U116
Other Code 215 Travel	U117
Foreign National Direct Hire Costs	U200 *
F.N. Basic Pay	U201
Overtime, Holiday Pay	U202
All Other Code 11 - F.N.	U203
All Other Code 12 - F.N.	U204
Benefits for Former F.N. Personnel	U205

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Contract Personnel	U300 *
* U.S. PSC - Salaries and Benefits	U302
All Other U.S. PSC Costs	U303
F.N. PSC - Salaries and Benefits	U304
All Other F.N. PSC Costs	U305
Manpower Contracts	U306
Housing Costs	U400 *
Residential Rent	U401
Residential Utilities	U402
Renovation and Maintenance	U403
Quarters Allowance	U404
Security Guard Services	U407
Official Residence Allowances	U408
Representation Allowances	U409
Office Operations Costs	U500 *
Office Rents	U501
Office Utilities	U502
Building Maintenance and Renovations	U503
Furniture/Equip /Vehicle Repair/Maint.	U508
Communications	U509
Security Guard Services	U510
Printing	U511
Site Visits - Mission	U513
Site Visits - AID/W Personnel	U514
Information Meetings	U515
Training Attendance	U516
Conference Attendance	U517 *

* Summary Level Function Code. Not to be used on Obligating Documents.

* Revised

Activity	Code
Other Operational Travel	U518
Supplies and Materials	U519
FAAS	U520
Consulting Services - Contracts	U521
Mgt. & Professional Svcs. - Contracts	U522
* Special Studies & Analyses	U523
ADP Hardware Leases/Maint.	U525
ADP Software Leases/Maint.	U526
Trans Freight - All U500	U598
All Other Code 25	U599
NXP Procurement	U600
Vehicles	U601
Residential Furniture	U602 *
Residential Equipment	U603
Office Furniture	U604
Office Equipment	U605
Other Equipment	U606
ADP Hardware Purchases	U607
ADP Software Purchases	U608
Trans/Freight - U600	U698
636C	U900 *
All Other Categories	
Security Equipment	V100 *
Office Security Systems	V110
Residential Security Systems	V120
Radios	V130
Vehicle	V140
Storage Facility	V150
Shipping and Receiving	V160
Other Miscellaneous Security Costs	V190
Public Affairs Support Services	V200 *
News Production and Support	V210 *
Editorial Services	V211
Equipment	V212
Film Service	V213
Clipping Service	V214
Teletype Service	V215
Information Distribution	V216
Video Cassettes	V217

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Printing	V220 *
Horizons	V221
Front Lines	V222
Other Publications	V223
Typesetters	V230
Design/Artwork	V240
Photo Services	V250 *
Freelance	V251
Image	V252
Other Photo Services	V253
Postage	V260
Consulting Contracts	V270
Other Support Services	V280 *
Registration and Fees	V281
Books and Directories	V283
Journalist Kits	V284
Other Miscellaneous	V285
Conferences/Seminars/Workshops	V286
Entertainment	V400
Confidential	V600
Reimbursements to Other Accounts	V700
Overseas WANG Maintenance Costs	V800 *
Miscellaneous Services	V900 *
Manpower Contracts	V910 *
Data Entry and Retrieval	V911
Clerical Services	V912
Consultant Services	V913
All Other Manpower Services	V919

* Summary Level Function Code. Not to be used on Obligating Documents.

Activity	Code
Audits and Investigations	V920 *
DCAA Audits	V921
HHS Audits	V922
Other Federal Audits	V923
Non-Federal Audits	V924
OPM Background Investigations	V925
Contract Background Investigations	V926
All Other Audit/Investigation Contracts	V929
Conferences, Meetings, Seminars	V930 *
Conferences	V931
Meetings/Workshops	V932
Seminars	V933
All Other Conferences/Meetings/Seminars	V939
Special Studies and Analysis	V950 *
Internal Studies & Analysis	V951
Congressional Studies	V952
OMP Studies	V953
All Other Studies/Analysis	V959
Personnel Support Activities	V960
Boards - Review	V961
Recruiting - Advertising	V962
Recruiting - All Other	V963
Grievances	V964
Outplacement	V965
FSN Activities	V966
All Other	V969
All Other Miscellaneous Services	V990

* Summary Level Function Code. Not to be used on Obligating Documents.

HB18, App.D.
Sec. III, Att. A11

A.I.D. GEOGRAPHIC CODE BOOK

Bureau for Program and Policy Coordination
Office of Planning and Budgeting
Program Data Services Division
Agency for International Development
Washington, D.C. 20523

INDEX

A.I.D. HANDBOOK INDEX

Preface

This Index is derived from the Master Index to the AID Handbook series issued under TM HI:5. It has been updated in order to incorporate recent changes made in the revised version of this Handbook.

The underlying approach to the Master Index is one of Unity, with the series of AID Handbooks considered as a single entity in which topics may appear in one, or more than one of the component volumes.

Each entry in the Master Index that includes a reference to this Handbook is reproduced here in its entirety, thus providing both a guide to this Handbook and useful references to other Handbooks.

The formats for location citations are intended to match their appearance on the Handbook pages. Beyond the standardized Handbook number with its following colon, the citations used in the index reflect the different formats used in the individual Handbooks themselves.

UNDERSTANDING THE CITATIONS

The standard codes and messages that appear throughout the index, and their exceptions, are defined in this section. It is recommended that all users read this section before using the Index.

LOCATION CITATIONS

The location citations are grouped in the following patterns:

Handbook number, colon, Chapter number, Paragraph letter, and further breakdown where needed.

The abbreviations such as App. for Appendix; Att. for Attachment; and Sup. for Supplement are also included in the citations wherever necessary.

Special cases and cross reference messages are described in the following page.

An example of the format used is as follows:

A.I.D. Financed Export Opportunities 1B:23A2a(3); 15:10C1a(1)

where the term "A.I.D. Financed Export Opportunities" is located in Handbook No.1B, Chapter 23, Section A2a(3); and Handbook 15, Chapter 10, Section C1a(1).

SPECIAL CASES

Although the majority of the location citations follow the pattern described previously, there are these exceptions:

- In some of the Handbooks, a majority of the text is reprinted from the Foreign Affairs Manual (FAM). All FAM citations are marked by a '#' sign before the section number.

- A major portion of Handbook 14 is composed of the Federal Acquisition Regulation (FAR). All citations to this publication are listed as 14:FAR(section number).

- Three Handbook supplements that are basically separate volumes are cited as, 1B: (Procurement Policy), 3A: and 3B: (Project Managers Guidebook).

- In Handbooks which contain both Parts as well as Chapters, the Roman numeral Part number is separated from the Arabic Chapter number by a dash (-). For example: 21:I-2A8, a citation to Chapter 2 of Part I of Handbook 21.

CROSS REFERENCES

These references provide direction for selection of index terms:-

A '<u>see</u>' reference points from an unused term to the one that is used.

'x' is the reverse of <u>see</u> (do not bother to look) and provides a guide to terms that are <u>not</u> used in the index.

'<u>see also</u>' points to terms that are closely related.

-A-

Access to AID records 18:III; 21:III-1G
disclosure of personal information 18:III-12J
Freedom of Information Act 18:III-10c
Privacy Act 14:FAR24; 18:III-12
penalties for noncompliance 18:III-12G

AID code book 18:App.D

AID data coding 18:V-3

AID directives system 18:I
AID Handbooks 18:I-2
AID notices 18:I-6D
AID regulations 18:I-6B
FAM sections(list) 18:I-Att.6C; 18:I-Att.6D; 18:I-Att.6F; 18:I-Att.6G
joint issuances 18:I-6C
Policy Determinations (list) 18:I-6A
x Directives system

AID Directives System Issuance Request 18:I-Att.4D

AID Handbooks 18:I
Handbook Circulars 18:I-5
handbook distribution 18:I-4N
handbook format 18:I-3
handbook maintenance 18:I-2C; 18:I-4
author offices 18:I-2C1; 18:I-Att.2A
handbook changes 18:I-2F

AID notices 18:I-6D

AID Regulation No.12 18:III-Att.11B; Att.B

AID Regulations 18:I-6B; 18:I-Att.6B

Amendment procedures
personnel folders 18:III-12L; 32:1E4

Approval
new records systems 18:V-Att.4A; 18:V-5G

Audio-visual services see AV services

Author offices 18:I-2C1; 18:I-Att.2A

Automatic Data Processing see ADP

AV services 18:III-6; 20:1B
x Audio-visual services

-B-

Bureau for Private Enterprise 1:I-C; 17:21; 18:IV-3D15

-C-

Cancellation of forms 18:V-5H

Classification review 18:III-11; 21:I-2A1a
see also Freedom of Information Act

Classified material 6:3#960; 6:3; 6:4
classification review 6:3#920; 18:III-11; 21:I-2A1a

Clearances
handbook changes 18:I-4B
new record systems 18:III-120; 18:V-4H1; 18:V-4I2; 18:V-Att.4C

Communications Review Board 18:III-13A

Computer systems 6:Att.1A
security regulations 18:III-12M

Congressional correspondence 18:II-1E; 21:I-4

Congressional delegations 18:II-3

Congressional information 18:II
see also Entries under U.S. Congress

Congressional inquiries 18:II-1

Congressional/VIP visitors 18:II-3

Congressional witness 18:II-2

Contract data sources 18:IV-3E2

Contractor data sources 18:IV-3E1

Cooperatives 18:IV-3D2

Correspondence types 21:IE
   Congressional correspondence 18:II-1E; 21:I-4

-D-

Data elements 18:V-2

Data management 18:ALL
   AID data coding 18:V-3
   data elements 18:V-2

Development Information Centers 18:IV-2C

Development information services 18:IV-2

Development Information Utilization see DIU

Directives system see AID directives system

Disaster assistance 8:ALL
   technical information services 18:IV-3D8
x Foreign disaster assistance

Disclosure of personal information 18:III-12F; 18:III-12J

DIU 3:App.1A; 3:App.2B; 18:IV-2B2
x Development information utilization
x Office of Development Information and Utilization

-E-

Economic and social data (sources) 18:IV-3B

Education programs
technical information services 18:IV-3D5

Employee conduct see
Employee responsibilities

Employee records see Personnel records

Employee responsibilities 24:2
disclosure of personal information 18:III-12F

Energy usage analysis 2:Sup.F3; 3:3C7; 3:App.3O
technical information services 18:IX-3D5

Exceptions
Freedom of Information Act 18:III-104
Privacy Act 18:III-12I
publications review 18:III-13B; 20:Att.1H

-F-

FAM sections (list) 18:I-6C; 18:I-Att.6D; 18:I-Att.6F; 18:I-Att.6G
x Foreign Affairs Manual; Joint regulations

Financial data sources 18:IV-3E6

FIPS standards 18:V-2B3

Food and agriculture development 1:II-A; 9:ALL
technical information services 18:IV-3D1

Food for Peace Program see
Title II (PL 480) programs

Foreign Affairs Manual see FAM sections

Foreign disaster assistance see
Disaster assistance

Forestry 1:II-G
technical information services 18:IV-3D9

Forms catalog 18:App.A4

Forms design see New records systems

Forms management 18:V-5; 18:App.A
cancellation of forms 18:V-5H
forms catalog 18:App.A4
forms procurement 18:V-5I
new records systems 18:V-5G

Forms procurement 18:V-5I

Freedom of Information Act 14:FAR24.2; 18:III-10C
exceptions 18:III-10H
processing procedures 18:III-10E

-G-

Geographic codes 11:Att.1A; 11:Att.2A; 11:Att.3A; 18:App.D, Att.A11

Guidelines for Data Management Services 18:V-Att.1B

-H-

Handbook changes 18:I-2F
clearances 18:I-4B; 18:I-Att.4B
transmittal memorandum 18:I-2C1b; 18:I-Att.2C

Handbook Circulars 18:I-5

Handbook distribution 18:I-4N

Handbook format 18:I-3

Handbook maintenance 18:I-2C; 18:I-4
author offices 18:I-2C1; 18:I-Att.2A
handbook changes 18:I-2F

Health and nutrition programs 1:II-C; 1:II-F; 9:10
technical information services 18:IV-3D10; 18:IV-3D12
x Nutrition

Home town newspapers 18:III-7

Human resources development 1:Ann.AIV-3; 2:Sup.B; 2:Sup.E
rural development 2:Sup.C3; 18:IV-3D16
urban development 1:Ann.A,PD64; 2:Sup.F2; 18:IV-D11

-I-

Information management 18:ALL
AID code book 18:App.D
forms management 18:V-5; 18:App.A
reports management 18:V-4

Information services 18:ALL
AID directives system 18:I
Congressional information 18:II
development information services 18:IV-2
Development Information Centers 18:IV-2C
information sources 18:IV-3
library services 18:IV-1
public information 18:III

Information sources 18:IV-3
economic and social data 18:IV-3B
management information sources 18:IV-3D3; 18:IV-3E
program planning assistance 18:IV-3C
technical information services 18:IV-3D

-J-

Joint issuances 18:I-6C

Joint regulations see FAM sections

-L-

Library services 18:IV-1

-M-

Mailing lists 18:III-12R; 18:IV-2C3g; 20:1C1

Management information sources 18:IV-3D3; 18:IV-3E
contract data sources 18:IV-3E2
contractor data sources 18:IV-3E1
financial data sources 18:IV-3E6

Mission operation 23:ALL
Congressional/VIP visitors 18:II-3
x Overseas support

-N-

New records systems 18:V
approval 18:V-5G
clearances 18:III-12O; 18:V-4H; 18:V-4I2; 18:V-Att.4C
forms management 18:V-5F
reports management 18:V-4F
x Forms design

News media contacts 18:III-4; 18:III-5
home town newspapers 18:III-7
news releases 18:III-5

News releases 18:III-5

Nutrition see Health and nutrition Programs

-O-

Office of Development Information and Utilization see DIU

Office of Public Affairs 17:13; 18:III-2

Official photographs 18:III-8

Overseas support see mission operation

-P-

Paperwork Reduction Act 18:V-4I1(a); 18:V-Att.4B

Participant training programs 3A:IIC2F; 3B:VIIG; 10:ALL
  technical information services 18:IV-3D13

Penalties for non-compliance
  Privacy Act 18:III-12G
x Sanctions; Violations

Personnel folders
  amendment procedures 18:III-12L

Personnel records 12:1C5; 32:ALL
  physical protection 18:III-12M
x Employee records

Physical protection
  personnel records 18:III-12M

Policy Determinations 1:ALL; 18:I-6A; 18:I-Att.6A

Policy statements
  AID directives system 18:I-1
  public information 18:III-1

Population Assistance
  technical information services 18:IV-3D14

Privacy Act 14:FAR24.1; 18:III-12
  exceptions 18:III-12I
  penalties for non compliance 18:III-12G
  Privacy Liaison officer 18:III-12E6

Privacy Act Information Request 18:III-12L1e

Privacy liaison officer 18:III-12E6

Private enterprise development 1:I-C; 18:IV-3D15

Private Voluntary Organizations see PVOs

Processing procedures
Freedom of Information Act 18:III-10E

Program planning assistance
education programs 2:Sup.E
technical information services 18:IV-3D4
energy usage analysis 2:Sup.F3
technical information services 18:IV-D5
food and agriculture development 2:Sup.C
technical information services 18:IV-D1
health and nutrition programs 2:Sup.C
technical information services 18:IV-3D10; 18:IV-3D12
population assistance 2:Sup.D
technical information services 18:IV-3D14
rural development 2:Sup.C3
technical information services 18:IV-3D16
urban development 2:Sup.F2
technical information services 18:IV-3D11

Program planning information sources 18:IV-3C

Project documents (collections) 18:IV-2C5

Public information 18:III
access to AID records 18:III-10; 21:III-1G
news media contacts 18:III-4; 18:III-5
Office of Public Affairs 17:13
official photographs 18:III-8
policy statements 18:III-1
public inquiries 18:III-3
speaking, writing, teaching activities 18:III-9; 18:III-Att.A

Public inquiries 18:III-3

Publications review 18:III-13
Communications Review Board 18:III-13A
exceptions 18:III-13B; 20:Att.1H

Publicity 3:App.6F
public information 18:III

PVOs 1:III-C3; 9:11A
technical information services 18:IV-3D17
x Private Voluntary Organizations

-R-

Reporting requirements
reports to Congress 18:II-4

Reports catalog 18:App.B

Reports costs 18:V-Att.4D

Reports management 18:V-4
paperwork reduction act 18:V-4I1; 18:V-Att.4B

Reports to Congress 18:II-4

Rural development 2:Sup.C3; 18:IV-3D16

-S-

Sanctions see Penalties for non-compliance

Security regulations 6:ALL
computer systems 6:Att.1A; 18:III-12M

Speaking, writing, teaching activities 18:III-9; 18:III-Att.A; 24:Att.2E

-T-

Technical information services 18:IV-3D
Bureau for Private Enterprise 18:IV-3D15
disaster assistance 18:IV-D8
education programs 18:IV-3D4
energy usage analysis 18:IV-D5
food and agricultural development 18:IV-3D1
Food for Peace program 18:IV-3D7
forestry 18:IV-3D9
health and nutrition programs 18:IV-3D10; 18:IV-2D12
participant training programs 3A:IIC2F; 3B:VIIG; 10:ALL
18:IV-3D13
population assistance 18:IV-3D14
PVOs 18:IV-3D17
rural development 18:IV-3D16
urban development 18:IV-D11
women in development 18:IV-3D18

Telegrams 18:I-6H; 21:I-2D

Title II (PL 480) programs 9:7; 9:8
   technical information services 18:IV-3D7
x Donation program
x Food for Peace program

Transmittal memorandum 18:I-2C2b; 18:I-Att.2C

-U-

Urban development 1:II-P; 2:Sup.F2; 18:IV-D11

U.S. Congress
   Congressional delegations 18:II-3
   Congressional inquiries 18:II-1
   Congressional witness 18:II-2
   reports to Congress 18:II-4

-V-

Violations see Penalties for non-compliance

-W-

Women in development 1:III-B2; 2:Sup.B4; 18:IV-3D18