

(e) *When appeal is required.* Before seeking court review, a requester generally must first submit a timely administrative appeal.

[82 FR 20434, May 2, 2017, as amended at 84 FR 37752, Aug. 2, 2019]

## PART 707—ACCESS TO AND SAFEGUARDING OF PERSONAL INFORMATION

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### Subpart A—General

#### § 707.11 Scope and purpose.

This part applies to all records in systems of records maintained by DFC that are retrievable by an individual's name or personal identifier. The rules in this part describe the procedures by which individuals may request access to records about themselves, request amendment or correction of those records, or request an accounting of disclosures of records by DFC. These

rules should be read in conjunction with the Privacy Act of 1974, 5 U.S.C. 552a, which provides additional information about records maintained on individuals.

#### § 707.12 Definitions.

As used in this part:

(a) *Individual* means a citizen of the United States or an alien lawfully admitted for permanent residence;

(b) *Maintain* includes maintain, collect, use, or disseminate;

(c) *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 photograph;

(d) *System of records* mean a group of any records under the control of DFC 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;

(e) *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 13 U.S.C. 8;

(f) *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.

#### § 707.13 Preservation of records.

DFC preserves all correspondence pertaining to the requests that it receives under this part, as well as copies of all requested records, until disposition or destruction is authorized pursuant to title 44 of the United States Code or the General Records Schedule 14 of the National Archives and Records Administration. Records that are identified as responsive to a request will not be disposed of or destroyed while they are the subject of a pending request, appeal, or lawsuit under the Privacy Act.

**Subpart B—Requests for Access to Records; Amendment of Records; Accounting of Disclosures; Notice of Court Ordered Disclosures**

**§ 707.21 Requests for access to or copies of records.**

(a) *How to submit.* An individual may request access to or copies of records maintained by DFC that are retrieved by an individual's personal identifier. To make a request for records a requester must submit a written request to the Director of Human Resources Management either by mail or delivery to US International Development Finance Corporation, 1100 New York Avenue NW., Washington, DC 20527 or electronic mail to *privacy@dfc.gov*. The envelope or subject line should read "Privacy Act Request" to ensure proper routing. Access to records maintained by DFC will be provided only by appointment. No officer or employee of DFC shall provide an individual with any records under this part until a written request as described in paragraph (b) of this section is provided and the identity of the individual is verified as described in paragraph (c) of this section.

(b) *Information to include.* All requests under this section must:

(1) Be in writing and be signed by the requester. Unless the requester is a current officer or employee of DFC, the letter must also be duly acknowledged before a notary public or other authorized public official or signed under 28 U.S.C. 1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization;

(2) Provide information sufficient to verify the identity of the requester, including the requester's full name, current address, date of birth, place of birth, or the system of record identification name or number. Also include a clearly legible copy of a valid form of identification. If the request is being made by a parent or guardian on behalf of another, also include the same information for the individual who is the subject of the request along with a court order, birth certificate, or similar document proving the guardianship. DFC will review the sufficiency of iden-

tity evidence under paragraph (c) of this section;

(3) Provide information sufficient to accurately identify the records or information so that DFC staff can locate the records with a reasonable amount of effort. At minimum this should include the full name, the system of record identification name, or the system identification number for the individual who is the subject of the records. Provision of a social security number is optional. If possible, also include a description of the records as well as providing a record creation time range and the name of the systems that should be searched. A description of DFC's system of records can be located in the "Privacy Act Compilation" published by the National Archives and Records Administration's Office of the Federal Register. Each system of records is also published in the FEDERAL REGISTER;

(4) Specify whether the individual wishes access to or copies of the information pertaining to him. If access is requested, provide at least one preferred date and hour for which an appointment is requested during regular business hours as provided in paragraph (a) of this section. DFC encourages appointments to be made at least one week in advance and for a requester to provide at least three preferred appointment times; and

(5) Include an agreement to pay fees or an agreement to pay fees up to a specified amount under § 707.27. A request that does not include an agreement to pay fees will be considered an agreement to pay fees up to \$25.00.

(c) *Verification of identity.* Prior to providing any requested information about an individual, the Director of Human Resources Management shall verify the identity of the individual. If the requester is acting as the guardian of the individual who is the subject of the records, the Director will also verify the identity of the individual who is the subject of the records, the relationship between the requester and the subject individual, and that the requester is acting on behalf of the subject individual. In order to verify identity, the Director shall require the individual to provide reasonable proof of

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identity such as a valid driver's license, identification card, passport, employee identification card, or any other identifying information. The Director shall deny any request where she determines, at her sole discretion, that the evidence offered to verify the identity of an individual is insufficient to conclusively establish the identity of the individual.

(d) *Release of records.* Originals and record copies will not be released from the files of DFC. Individuals will not be permitted to disturb any record files or to remove records from designated place of examination. If copies were requested in the request letter, copies will be furnished upon payment of the fees prescribed in § 707.27.

(e) *Denial of request.* If the Director of Human Resources Management declines any request submitted under this section, the denial will be made in writing and contain a brief description of the denial. Denials include a determination that an individual has not provided adequate evidence to verify identity under paragraph (c) of this section, a determination that the record cannot be located, and a withholding of a record in whole or in part. In the event of a denial, the requester may file a written appeal within thirty days of the date of notification, following the procedures in § 707.25.

[79 FR 8614, Feb. 13, 2014, as amended at 84 FR 37752, Aug. 2, 2019]

## § 707.22 Requests to permit access of records to an individual other than the individual to whom the record pertains.

(a) *Access by an authorized individual.* An individual requester who wishes to be accompanied by another individual when reviewing records pertaining to the requester must provide DFC with a signed, written statement authorizing discussion of the information contained in the records in the presence of the accompanying individual. Both parties will be required to verify their identity under § 707.21(c) before access is granted.

(b) *Release to an authorized individual.* An individual requester who wishes to have copies of records pertaining to the requester released to another individual must provide DFC with a writ-

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ten statement authorizing release of the information contained in the records to the other individual. The identity of the individual to whom the record pertains must be verified under § 707.21(c) before release is authorized.

(c) *Access or release to parent or guardian.* Guardians will be provided access or copies under the provisions of § 707.21.

## § 707.23 Requests for amendment of records.

(a) *How to submit.* Unless a record is not subject to amendment, per paragraphs (g) and (h) of this section, an individual may request an amendment of a record to correct information the individual believes is not accurate, relevant, timely, or complete. The request must be in writing, labeled "Privacy Act Request," and should be addressed to the Director of Human Resources Management. The request may either be mailed to DFC or delivered to the receptionist at 1100 New York Avenue NW., Washington, DC 20527, during regular business hours, between 8:45 a.m. and 5:30 p.m., Monday through Friday, excluding public holidays. The request will be considered received when actually delivered to or, if mailed, when it is actually received by the Director of Human Resources Management.

(b) *Information to include.* All requests under this section must:

(1) Be in writing and be signed by the requester. Unless the requester is a current officer or employee of DFC, the letter must also be duly acknowledged before a notary public or other authorized public official or signed under 28 U.S.C. 1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization;

(2) Provide information sufficient to verify the identity of the requester, including the requester's full name, current address, date of birth, place of birth, or the system of record identification name or number. Also include a clearly legible copy of a valid form of identification. If the request is being made by a parent or guardian on behalf of another, also include the same information for the individual who is the subject of the request along with a court order, birth certificate, or similar document proving the guardianship.

DFC will review the sufficiency of identity evidence under paragraph (c) of this section;

(3) Provide information sufficient to accurately identify each record so that DFC staff can locate the record and information with a reasonable amount of effort. At minimum this should include the full name, the system of record identification name, or the system record identification number for the individual who is the subject of the records and the name for each system that you believe the record is located in. Provision of a social security number is optional. If possible, you should also include a description of the records and provide a record creation time range. A description of DFC's systems of records can be located in the "Privacy Act Compilation" published by the National Archives and Records Administration's Office of the Federal Register. Each system of records is also published in the FEDERAL REGISTER;

(4) Specify the correction requested; and

(5) Detail the basis for the requester's belief that the records and information are not accurate, relevant, timely, or complete. This includes providing substantial and reliable evidence sufficient to permit DFC to determine whether an amendment is in order.

(c) *Verification of identity.* Prior to amending information about an individual, the Director of Human Resources Management shall verify the identity of the requesting individual. If the requester is acting as the guardian of the individual who is the subject of the records, the Director will also verify the identity of the individual who is the subject of the records, the relationship between the requester and the subject individual, and that the requester is acting on behalf of the subject individual. In order to verify identity, the Director shall require the individual to provide reasonable proof of identity such as a valid driver's license, identification card, passport, employee identification card, or any other identifying information. The Director shall deny any request where she determines, at her sole discretion, that the evidence offered to verify the identity of an individual is insufficient

to conclusively establish the identity of the individual.

(d) *Acknowledgment of request.* If a request will take longer than ten (10) business days to process, DFC will send the requester an acknowledgment letter. Any request that Director of Human Resources Management determines does not describe records or information in enough detail to permit the staff to promptly locate the records; does not describe the correction requested in enough detail to permit the staff to make a correction; or does not reasonably specify the amendment requested or its basis will be returned without prejudice to the requester and treated as not received.

(e) *Determination.* The Director of Human Resources Management will provide a determination on a request under this section within thirty (30) days from receipt.

(1) *Amendment.* The Director of Human Resources Management will notify the requester in writing if the amendment is made and provide the individual an opportunity to request a copy of the amended record.

(2) *Denial.* The Director of Human Resources Management will notify the requester in writing if she denies any portion of a request made under this section. The denial will include a brief explanation of the reason for the refusal and the right of the individual to file an appeal within thirty (30) days, following the procedures in §707.25. In the event an appeal is denied, a requester may file a statement of disagreement with DFC as described in §707.25(c).

(f) *Notification of amendment.* Within thirty (30) days of the amendment or correction of a record or the filing of a statement of disagreement, DFC will notify all persons, organizations, or agencies to which it previously disclosed the record, if an accounting of that disclosure was made. If an individual has filed a statement of disagreement, DFC will attach a copy of it to the disputed record whenever the record is disclosed in the future and may also attach a concise statement of its reasons for denying the request to amend or correct.

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(g) *Records not subject to amendment.* The following records are not subject to amendment:

(1) Transcripts of testimony given under oath or written statements made under oath;

(2) Transcripts of grand jury proceedings, judicial proceedings, or quasi-judicial proceedings, which are the official record of those proceedings;

(3) Presentence records that originated with the courts; and

(4) Records in systems of records that have been exempted from amendment and correction under the Privacy Act, 5 U.S.C. 552a(j) or (k) or by notice published in the FEDERAL REGISTER.

(h) *No amendment permitted.* No part of these rules 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.

**§ 707.24 Requests for an accounting of record disclosures.**

(a) *How to submit.* Unless an accounting of disclosures is not required to be kept under paragraph (e) of this section, an individual may request an accounting of all disclosures DFC has made of a record, maintained in a system of records and about the individual, to another person, organization, or agency. The request must be in writing, labeled "Privacy Act Request," and should be addressed to the Director of Human Resources Management. The request may either be mailed to DFC or delivered to the receptionist at 1100 New York Avenue NW., Washington, DC 20527, during regular business hours, between 8:45 a.m. and 5:30 p.m., Monday through Friday, excluding public holidays. The request will be considered received when actually delivered to or, if mailed, when it is actually received by the Director of Human Resources Management.

(b) *Information to include.* All requests under this section must:

(1) Be in writing and be signed by the requester. Unless the requester is a current officer or employee of DFC, the letter must also be duly acknowledged before a notary public or other authorized public official or signed under 28 U.S.C. 1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization;

(2) Provide information sufficient to verify the identity of the requester, including the requester's full name, current address, date of birth, place of birth, or the system of record identification name or number. Also include a clearly legible copy of a valid form of identification. If the request is being made by a parent or guardian on behalf of another, also include the same information for the individual who is the subject of the request along with a court order, birth certificate, or similar document proving the guardianship. DFC will review the sufficiency of identity evidence under paragraph (c) of this section;

(3) Provide information sufficient to accurately identify the records or information so that DFC staff can locate the records with a reasonable amount of effort. At minimum this should include the full name, the system of record identification name, or the system record identification number for the individual who is the subject of the records and the name for each system that you believe the record is located in. Provision of a social security number is optional. If possible, you should also include a description of the records and provide a time range. A description of DFC's system of records can be located in the "Privacy Act Compilation" published by the National Archives and Records Administration's Office of the Federal Register. Each system of records is also published in the FEDERAL REGISTER;

(4) Include an agreement to pay fees or an agreement to pay fees up to a specified amount under § 707.27. A request that does not include an agreement to pay fees will be considered an agreement to pay fees up to \$25.00.

(c) *Verification of identity.* Prior to providing any requested information about an individual, the Director of Human Resources Management shall

verify the identity of the requesting individual. If the requester is acting as the guardian of the individual who is the subject of the records, the Director will also verify the identity of the individual who is the subject of the records, the relationship between the requester and the subject individual, and that the requester is acting on behalf of the subject individual. In order to verify identity, the Director shall require the individual to provide reasonable proof of identity such as a valid driver's license, identification card, passport, employee identification card, or any other identifying information. The Director shall deny any request where she determines, at her sole discretion, that the evidence offered to verify the identity of an individual is insufficient to conclusively establish the identity of the individual.

(d) *Determination.* The Director of Human Resources Management will provide a requester with one of the following:

(1) *Provision of accounting of disclosures.* If the request is granted, the Director of Human Resources Management will provide the individual with an accounting containing the date, nature, and purpose of each disclosure, as well as the name and address of the person, organization, or agency to which the disclosure was made.

(2) *Denial.* The Director of Human Resources Management will notify the individual in writing if she denies any portion of a request made under this section. The denial will include a brief explanation of the reason for the refusal and the right of the individual to request a review thereof under the provisions of § 707.25.

(e) *Disclosures where an accounting of disclosures is not required.* DFC need not provide an accounting of disclosures where:

(1) The disclosures are of the type for which accountings are not kept. For example, disclosures made to employees within the agency; or

(2) The disclosure was made in response to a written request from a law enforcement agency for authorized law enforcement purposes.

#### § 707.25 Appeals.

An individual may appeal a denial made under §§ 707.21 through 707.23 within thirty (30) days of the notification of such denial.

(a) *How to submit.* The appeal must be in writing, labeled "Privacy Act Appeal," and should be addressed to the Executive Vice President. The request may either be mailed to DFC or delivered to the receptionist at 1100 New York Avenue NW., Washington, DC 20527, during regular business hours, between 8:45 a.m. and 5:30 p.m., Monday through Friday, excluding public holidays.

(b) *Information to include.* All requests under this section must:

(1) Be in writing and be signed by the requester;

(2) Be clearly labeled "PRIVACY ACT APPEAL" on both the letter and the envelope;

(3) Clearly reference the determination being appealed; and

(4) Provide support for your information, including documentation provided in the initial determination and any additional information.

(b) *Appeal determination.* The Executive Vice President will advise the individual of DFC's determination within thirty (30) business days. If the Executive Vice President is unable to provide a determination within thirty business days, the individual will be advised in writing of the reason before the expiry of the thirty business days.

(1) *Overtake initial determination.* If the Executive Vice President grants the appeal and overturns the initial determination in whole or part, the individual will be notified in writing and the requested action taken promptly along with any other steps DFC would have taken had the initial determination come to the same result as the appeal.

(2) *Uphold initial determination.* If the Executive Vice President denies the appeal and upholds the initial determination in whole or in part, the individual will be notified in writing and provided with an explanation. In cases where a denial of amendment or correction is upheld, the individual will also be notified of the ability to file a statement of disagreement under paragraph (c) of this section.

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(c) *Statement of disagreement.* If an individual is denied a request to amend a record in whole or in part and that denial is upheld on appeal, the individual may file a statement of disagreement. Statements of disagreement must be concise, clearly identify each part of any record that is disputed, and should be no longer than one typed page for each fact disputed. The statement of disagreement will be placed in the system of records that contains the disputed record and the record will be marked to indicate that a statement of disagreement has been filed. The statement of disagreement will be attached to any future releases of the disputed record and may be accompanied by a concise statement from DFC explaining its denial.

### § 707.26 Notification of court-ordered disclosures.

(a) Except in cases under paragraph (c) of this section, when a record pertaining to an individual is required to be disclosed by court order, DFC will make reasonable efforts to provide notice of this to the individual. If DFC cannot locate the individual, notice will be deemed sufficient for this part if it is mailed to the individual's last known address. The notice will contain a copy of the order and a description of the information disclosed.

(b) Notice will be given within a reasonable time after DFC's receipt of the order, unless the order is not a matter of public record. In those cases, the notice will be given only after the order becomes public.

(c) Notice is not required if disclosure is made from an exempt system of records.

### § 707.27 Fees.

(a) The fees to be charged for making copies of any records provided to an individual under this part are ten (10) cents per page. No fees will be charged for search or review.

(b) At its discretion, DFC may grant a request for special services such as mailing copies by means other than first class mail or providing document certification. All special services provided to the requester will be provided at cost.

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(c) DFC considers any request under the Privacy Act to be an authorization to incur up to \$25.00 in fees unless a request states otherwise.

(d) DFC may condition access to records or copies of records upon full payment of any fees due.

(e) All payments under this part must be in the form of a check or bank draft denominated in U.S. currency. Checks should be made payable to the order of the United States Treasury and mailed or hand delivered to DFC at 1100 New York Avenue NW., Washington, DC 20527.

## Subpart C—Exceptions

### § 707.31 Specific exemptions.

The provisions of 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I) and (f) shall not apply to any system of records maintained by DFC that is—

(a) Subject to the provisions of 5 U.S.C. 552(b)(1);

(b) Composed of Investigatory material compiled for law enforcement purposes other than those specified in 5 U.S.C. 552a(j)(2);

(c) Required by statute to be maintained and used solely as statistical records;

(d) Composed of 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 DFC may determine, in its sole discretion, that the disclosure of such material would reveal the identity of the source who, subsequent to September 27, 1975, furnished information to the Government under an express promise that the identity of the source would be held in confidence or, prior to such date, under an implied promise to such effect; and

(e) Composed of testing or examination materials used solely to determine individual qualifications for appointment or promotion in the Federal service and DFC determines, in its sole discretion, that disclosure of such materials would compromise the fairness of the testing or examination process.

**§ 707.32 Special exemption.**

Nothing in this part shall allow an individual access to any information compiled in reasonable anticipation of a civil action or proceeding.

**§ 707.33 Other rights and services.**

Nothing in this part shall be construed to entitle any person, as of right, to any service or to the disclosure of any record to which such person is not entitled under the Privacy Act.

**PARTS 708–709 [RESERVED]****PART 710—ADMINISTRATIVE ENFORCEMENT PROCEDURES OF POST-EMPLOYMENT RESTRICTIONS**

Sec.

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**§ 710.1 General.**

The following procedures are hereby established with respect to the administrative enforcement of restrictions on post-employment activities (18 U.S.C. 207(a), (b) or (c) and implementing regulations (44 FR 19987 and 19988, April 3, 1979) published by the Office of Government Ethics.

**§ 710.2 Action on receipt of information regarding violation.**

On receipt of information regarding a possible violation of the statutory or regulatory post-employment restrictions by a former DFC employee and after determining that such information does not appear to be frivolous, the President of DFC or the President's designee shall provide such information to the Director of the Office of Government Ethics and to the Criminal Division, Department of Justice. Any investigation or administrative action shall be coordinated with the Department of Justice to avoid prejudicing possible criminal proceedings. If the Department of Justice informs DFC that it does not intend to institute criminal proceedings, such coordination shall no longer be required and DFC shall be free to pursue administrative action.

**§ 710.3 Initiation of administrative disciplinary proceeding.**

Whenever the President of DFC or the President's designee determines after appropriate review that there is reasonable cause to believe that a former DFC employee had violated the statutory or regulatory post-employment restrictions, an administrative disciplinary proceeding shall be initiated.

**§ 710.4 Notice.**

The President of DFC or the President's designee shall initiate an administrative disciplinary hearing by providing the former DFC employee with notice of an intention to institute a proceeding and an opportunity for a hearing. Notice must include:

(a) A statement of allegations and the basis thereof sufficiently detailed to enable the former employee to prepare an adequate defense;

(b) Notification of the right to a hearing; and

(c) An explanation of the method by which a hearing may be requested.

**§ 710.5 Failure to request hearing.**

The President of DFC may take appropriate action referred to in § 710.13