

SUPPLEMENT

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1280.1A AL SUP 1

ALASKAN REGION

April 10, 1995

SUBJ: PROTECTING PRIVACY OF INFORMATION ABOUT INDIVIDUALS

1. **PURPOSE.** This supplement adds Alaskan Region policy and procedures to this new edition of the Privacy Act order. Minor editorial changes include updating routing symbols.

2. **DISPOSITION OF TRANSMITTAL.** Transmittal page shall be filed and retained until this order is revised and reissued or canceled without replacement.

PAGE CONTROL CHART

REMOVE PAGE	DATED	INSERT PAGE	DATED
1-2-AL1 and -AL2	9/12/90	2-AL2	4/10/95
1-4-AL1 and -AL2	9/12/90	4-AL1 and -AL2	4/10/95
2-2-AL1 and -AL2	9/12/90	13-AL1 and -L2	4/10/95
2-4-AL1 and -AL2	9/12/90	15-AL1 and -AL2	4/10/95
		17-AL1 and -AL2	4/10/95
3-2-AL1 (and -AL2)	9/12/90	24-AL2	4/10/95
3-4-AL2	9/12/90	30-AL2	4/10/95
4-2-AL2	9/12/90	32-AL2	4/10/95
4-6-AL2	9/12/90	36-AL2	4/10/95
4-8-AL1 and -AL2	9/12/90	38-AL2	4/10/95
4-10-AL1 (and -AL2)	9/12/90	41-AL1 (& -AL2)	4/10/95
5-2-AL1 and -AL2	9/12/90	49-AL1 and -AL2	4/10/95
5-6-AL2	9/12/90	55-AL2	4/10/95

6-2-AL2	9/12/90	57-AL2	4/10/95
AL Appendix 1 1 and 2	9/12/90	AL Appendix 1 1 and 2	4/10/95
AL Appendix 2 1 thru 10	9/12/90	AL Appendix 2 1 thru 10	4/10/95

SIGNED

Jacqueline L. Smith
Regional Administrator

AL SUPPLEMENTAL PAGE

1-7t-AL1. System managers in the field are as follows:

AT field facilities	-	Air traffic managers
AF field offices	-	Sector field office managers
AF sectors		Sector managers
FS field office	-	District office managers

1-8a-AL1. Regional Forms and Sample Formats. See AL Appendix 2 for a listing of Alaskan Region Privacy Act forms and sample memorandum formats, and for illustrations of each.

THE FRONT OF THIS PAGE INTENTIONALLY LEFT BLANK

AL SUPPLEMENTAL PAGE

1-9i-AL1. Any deficiencies or inconsistencies in regional or agency directives concerning the Privacy Act are to be brought to the attention of the Privacy Act Coordinator, AAL-43.

1-10g(1)(d)-AL1. Fees collected should be sent to the cashier, AAL-42T, via DOT Form F 2770.2, Record of Cash Receipts.

AL SUPPLEMENTAL PAGE

1-10h-AL1. Regional Privacy Act Coordinator. The Manager, Resource Management Division, AAL-40, is designated the Privacy Act Coordinator for the Alaskan Region. He/she shall designate a representative within the Information Technology Branch, AAL-43, to act as the Privacy Act Coordinator, who shall report to the Manager of AAL-40.

AL SUPPLEMENTAL PAGE

2-3-AL1. PROCEDURES. Individuals appearing in person requesting information pertaining to themselves or other individuals, contained in a system of records, shall fill out AL Form 1280-1, Privacy Act Information Request. When a letter is received requesting information, the letter shall be stapled to AL Form 1280-1 and reference made to the letter in section 1 of the form. Section 2 is to be completed as requested. Distribution of AL Form 1280-1 is shown on the reverse of the form. An example of AL Form 1280-1 is shown in AL Appendix 2, AL Figure 1, and is available in the regional stock room, AAL-52C.

a. When request is for access to individual's own records, use only one copy. Use for suspense until action is completed.

(1) If access is granted, destroy the form.

(2) If access is denied, forward the form in a sealed "For Official Use Only" envelope to the Privacy Act Coordinator, AAL-43.

b. When request is for disclosure to a third party, use two copies.

(1) Original: Record action taken, and file form with the disclosed record.

(2) First Copy: Record action taken; send to Privacy Act Coordinator, AAL-43, in a sealed "For Official Use Only" envelope for statistical reporting purposes. This copy shall be destroyed after the statistical report is filed.

c. The Resource Management Division shall maintain all "accounting of disclosure" records. Systems managers shall not maintain duplicate copies for accounting or reporting purposes. **IN THE CASE OF ACCESS TO RECORDS BY INDIVIDUALS ABOUT WHOM THE RECORD RELATES, NO ACCOUNTING OF THE NAMES OR OTHER IDENTIFYING DATA OF THE PERSONS REQUESTING ACCESS WILL BE MAINTAINED.**

2-3a(4)-AL1. A copy of each denial of access to an individual's records by the region's systems managers shall be provided to the Privacy Act Coordinator, AAL-43, in accordance with paragraph 5-6c.

2-3b-AL1. Use AL Form 1280-3 for the written statement authorizing discussion of an individual's record in the presence of an accompanying person. (See AL Appendix 2, AL Figure 8.)

AL SUPPLEMENTAL PAGE

2-4b(3)-AL1. Requests for concurrence of Chief Counsel, AGC-1, shall be processed through the Aviation Medical Division, AAL-300, and the Assistant Chief Counsel, AAL-7.

2-5b(1)-AL1. Identification should be that which an individual would have readily available. This identification must have the individual's name and should have the individual's date of birth. Examples would be a driver's license or employee identification card. A picture credit card will be acceptable in the event a driver's license or ID card are not available.

2-5b(3)-AL1. Requests for concurrence of Chief Counsel, AGC-1, shall be processed through the Aviation Medical Division, AAL-300, and the Assistant Chief Counsel, AAL-7.

AL SUPPLEMENTAL PAGE

2-6b-AL1. A copy of any denial of a request from a third party shall be forwarded to the Privacy Act Coordinator, AAL-43, in accordance with paragraphs 5-6c and d.

2-7a(3)(c)-AL1. Send one copy of the letter on notification of amendment of a record to all persons or agencies to whom the record has been disclosed, notifying them that the record has been amended and indicate the substance of the amendment (see Appendix 2, AL Figure 4). If it is more convenient to enclose a corrected copy of the amended portion rather than to indicate the substance of the amendment, this may be done to save time or paper.

AL SUPPLEMENTAL PAGE

2-7a(4)-AL1. A copy of each initial determination to deny the amendment of an individual's records shall be furnished to the Privacy Act Coordinator, AAL-43, in accordance with paragraphs 5-6c and d.

2-8-AL1. ADVISING REQUESTER OF RIGHTS TO APPEAL. Write a letter notifying an individual that a request to amend a record is denied, using AL Figure 6 of AL Appendix 2 as a guide. Use the sample letter in AL Figure 3 of AL Appendix 2 as a guide when writing a letter refusing access to a record. Both memos shall be signed by the supervisor of the systems manager.

2-9a-AL1. The action package forwarded to the Assistant Administrator for Information Technology will include all documents relating to the case.

AL SUPPLEMENTAL PAGE

2-9d(4)(a)3. Statement of Disagreement. Upon receipt of a statement of disagreement with denial of an appeal to correct a record, the systems manager shall forward one copy of a letter acknowledging receipt of a statement of disagreement to the individual (see Appendix 2, AL Figure 7). This letter of acknowledgment informs the individual that the statement of disagreement has been filed in the record, and that a copy of the statement of disagreement will accompany any disclosure of the record.

AL SUPPLEMENTAL PAGE

3-4-AL1. Records made available under compulsory legal process. The systems manager will use the format shown in AL Figure 9 of AL Appendix 2 to notify an individual that a record concerning such individual has been made available under compulsory legal process.

THE FRONT OF THIS PAGE INTENTIONALLY LEFT BLANK

AL SUPPLEMENTAL PAGE

4-3d-AL1. Regional Personnel Privacy Act Officer. The Personnel Management Specialist, AAL-17C, is designated the Personnel Privacy Act Officer for the Alaskan Region.

THE FRONT OF THIS PAGE INTENTIONALLY LEFT BLANK

AL SUPPLEMENTAL PAGE

4-11-AL1. GRANT OF ACCESS. If a request is received from an individual no longer employed in the Federal Government for access to that individual's own records, and the records sought are no longer retained by the office receiving the request, the individual shall be advised to direct his or her request, in writing, including name, date of birth, and social security number to: National Personnel Records Center, General Services Administration, 11 Winnebago Street, St. Louis, Missouri 63118. The systems manager for this system of records is the Director, Bureau of Manpower Information Systems, U.S. Office of Personnel Management, 1900 E Street, N.W. , Washington, D.C. 20415.

THE FRONT OF THIS PAGE INTENTIONALLY LEFT BLAND

AL SUPPLEMENTAL PAGE

4-19-AL1. Regional Personnel Records Security Officer. The Personnel Management Specialist, AAL-17C, is designated the Personnel Records Security Officer for the Alaskan Region.

THE FRONT OF THIS PAGE INTENTIONALLY LEFT BLANK

AL SUPPLEMENTAL PAGE

4-25-AL1. FEES. Fees collected in connection with the release of records shall be transmitted to the Alaskan Region Cashier, AAL-42T, via DOT form F2770.2, Record of Cash Receipts.

4-25b-AL1. Fees shall be charged for second and subsequent copies of personnel records described in paragraph 4-25a(1) only when the cost of copying the record is in excess of \$10.00

THE FRONT OF THIS PAGE INTENTIONALLY LEFT BLANK

AL SUPPLEMENTAL PAGE

4-28b-AL1. Alaskan Region Normal Commuting Area. For purposes of the Privacy Act, FAA offices not located in the Anchorage Federal Office Building/U.S. Court House are considered to be outside the normal commuting area; i.e., remote from the Human Resource Management Division where the OPF's are kept.

4-29-AL1. MAINTENANCE AND DISPOSAL OF OPERATING PERSONNEL FOLDERS AT REMOTE OFFICES.

a. Maintenance.

(1) While operating personnel folders are authorized at offices remote from the official personnel folders (OPF), the OPF is still the principal personnel file. The operating personnel folders are authorized only as working folders and only that material which is determined essential for immediate and continuous day-to-day use is authorized for these files. Remote offices are expected to rely on the Human Resource Management Division, AAL-10, to provide any additional personnel information that may be needed from the OPF.

(2) No more than one operating personnel folder for each employee shall be established in addition to the OPF. Contents of such folders or portions thereof may NOT be duplicated and maintained at different geographical locations. Training records are considered to be part of the operating personnel folders. At offices or facilities authorized to have training staffs, the training records portion may be maintained separately within the office or facility. (See Federal Personnel Manual 293, Subchapter S8, par 3c.)

(3) Employee copies of personnel records shall not be maintained in the operating personnel folders.

(4) Appropriate security measures shall be taken to ensure that the information in these records is kept confidential.

b. Disposal. When an employee transfers out of a facility or office, the training records portion of the file shall be forwarded to the gaining office by the supervisor maintaining the folder. The remaining portion of the file shall be forwarded within 2 weeks to the Human Resource Management Division, AAL-10. For all employees leaving the agency, the entire operating personnel folder shall be forwarded to AAL-10 within 2 weeks of the date of separation.

c. Evaluation. Operating personnel folders will be reviewed to assure compliance with the establishment, maintenance, and disposition requirements set forth in this order. The Human Resource Management Division will conduct the reviews.

AL SUPPLEMENTAL PAGE

5-6c-AL1. Manual Transmission of Records.

(1) Privacy Act records transmitted through the FAA mail system or hand carried and left in an "in" basket, etc., shall:

(a) Be in sealed opaque envelopes. IT IS RECOMMENDED THAT THE RECORDS BE PLACED IN THE OPAQUE SEALING ENVELOPE THAT IS PREPRINTED WITH THE PHRASE, "TO BE OPENED BY ADDRESSEE ONLY" (FAA Form 1360-39). Any opaque sealing envelope may be used if the phrase, "To be opened by addressee only", is written, typed, or stamped on both sides of the envelope. ENVELOPES MUST BE SEALED BY MOISTENING THE GLUED FLAP AND PRESSING SECURELY CLOSED. Using only tape to fasten the envelope flap is NOT sufficient.

(b) Have the envelope addressed with BOTH the name and routing symbol of the intended receiver. A routing symbol only is NOT sufficient, as more than one person in an office may have the same routing symbol.

(2) Within regional headquarters, a facility, or office, records containing Privacy Act material may be hand carried without an envelope PROVIDING THE RECORDS WILL BE HANDED DIRECTLY TO THE RECEIVER. Privacy Act records may NOT be left in an "in" basket, on a desk, or any other place unless they are in a sealed, opaque, properly addressed envelope.

(3) Privacy Act records mailed through the U.S. Postal Service shall be in sealed, opaque, properly addressed envelopes.

5-6f(1)-AL1. DESTRUCTION GUIDELINES.

a. In the regional office, a shredder is available for the destruction of Privacy Act data and other classified material. The shredder is available in the stock room.

b. At the field offices and facilities, in the absence of acceptable equipment for destruction, Privacy Act material shall be destroyed by ensuring that individuals' names and identifying data are separated from information in such a manner as to preclude reconstruction. This may be done by hand shredding, scissors, cutting board, or other types of destruction devices at your disposal. This material will not be released to private contractors for destruction.

AL SUPPLEMENTAL PAGE

6-3-AL1. PROCEDURES FOR EXEMPTING SYSTEMS OF RECORDS. A proposal to exempt a system of records shall be initially submitted to the Privacy Act Coordinator, AAL-43, who in turn shall coordinate the proposal with the Assistant Chief Counsel.

6-4-AL1. GOVERNMENT CONTRACTORS. The Manager, Acquisition Management Branch, Logistics Division, is responsible for implementing procedures to ensure compliance with requirements of this paragraph.

THE FRONT OF THIS PAGE INTENTIONALLY LEFT BLANK

AL SUPPLEMENTAL PAGE

7-1b-AL1. Proposals for new or revised systems of records shall be submitted with the appropriate information (paragraph 7-1a) through the appropriate division manager, to AAL-40, ATTENTION: Privacy Act Coordinator, AAL-43, at least 90 days prior to implementation.

7-3-AL1. Privacy Act Statistical Summary (RIS 1280-1) shall be prepared by the Privacy Act Coordinator, AAL-43, using the copies of AL Form 1280-1 which have been forwarded by systems managers throughout the year in accordance with paragraph 2-3-AL1. A listing of Privacy Act records maintained in the Alaskan Region is shown in Appendix 1.

THE FRONT OF THIS SHEET INTENTIONALLY LEFT BLANK

AL APPENDIX I. ALASKAN REGION SYSTEM OF RECORDS

<u>System Number</u>	<u>System Name</u>	<u>Systems Manager(s)</u>
DOT/ALL-1	DOT Grievance Records Files	AAL-10
DOT/FAA 801	Aircraft Registration System	AAL-200
DOT/FAA 806	Federal Aviation Administration Employee Payable System	AAL-40
DOT/FAA 810	Discrimination Complaint Files	AAL-9
DOT/FAA 811	Employee Health Record System	AAL-300
E DOT/FAA 813	Civil Aviation Security System	AAL-700
DOT/FAA 814	Equal Employment Opportunity Minority/ Female Statistical Reporting System	AAL-10
E DOT/FAA 815	Investigative Record System	AAL-700
DOT/FAA 816	Tort Claims and Personal Property Claims Record System	AAL-7
DOT/FAA 822	Aviation Medical Examiner System	AAL-300
DOT/FAA 830	Representatives of the Administrator	AAL-200
DOT/FAA 832	Pilot/Flight Engineer/Navigator Flight Record	AAL-200
DOT/FAA 833	Housing Management Monthly Report, RIS AL-4930-3	AAL-50
DOT/FAA 837	Photographs and Biographical Information	AAL-5
E DOT/FAA 847	General Air Transportation Records on Individuals	AAL-7, AAL-200 AAL-300, AAL-700
DOT/OST 018	Identification Media Record System	AAL-6, AAL-700
DOT/RSPA 02	National Defense Executive Reserve (NDER) File	AAL-4
DOT/RSPA 06	Emergency Alerting Schedules	AAL-6
OPM/GOVT-1	General Personnel Records	AAL-10
OPM/GOVT-2	Employee Performance File	AAL-10
OPM/GOVT-3	Adverse Action Records	AAL-10
OPM/GOVT-5	Recruiting, Examining, and Placement Records	AAL-10
OPM/GOVT-7	Applicant Race, Sex, National Origin and Disability Status Records	AAL-10
OPM/GOVT-8	Confidential Statements of Employment and Financial Interests	AAL-7
OPM/GOVT-9	File on Position Classification Review Requests (Appeals) and Grade and Pay Retention Appeals	AAL-10
OPM/GOVT-10	Employee Medical File	AAL-300

NOTE: "E" preceding the system number indicates the information in these systems is exempt from disclosure.

AL APPENDIX 2. FORMS AND SAMPLE FORMATS

The following sample formats and forms are approved for use in handling requests for records under the Privacy Act. The forms are available in the Regional Stock Room, AAL-52C.

	Page
AL Figure 1. AL Form 1280-1, Privacy Act Information Request (Face)	2
AL Figure 2. AL Form 1280-1, Privacy Act Information Request (Reverse)	3
AL Figure 3. Sample format, Notification of Initial Refusal to Grant Access to a Record	4
AL Figure 4. AL Form 1280-2, Response to Requester Concerning a Request Under the Privacy Act	4
AL Figure 5. Sample format, Notification of Amendment of a Record	6
AL Figure 6. Sample format, Notification of Initial Refusal to Amend a Record	7
AL Figure 7. Sample format, Acknowledgment of Receipt of Statement of Disagreement	8
AL Figure 8. AL Figure 1280-3, Authorization to Discuss or Divulge Information in the Presence of Another	9
AL Figure 9. Sample format, Notification of Records Made Available Under Compulsory Legal Process	10

The forms and sample formats are shown on the succeeding pages of this appendix. The sample formats are shown on informal stationery, which would be used when replying to FAA employees. Answers to the general public would be on formal stationery. Offices receiving many Privacy Act requests might consider keeping the format electronically filed, to be filled in as appropriate.

AL FIGURE 1. SAMPLE AL FORM 1280-1 (FACE)

Figure not yet available electronically. See paper copy of form.

AL FIGURE 2. SAMPLE AL FORM 1280-1 (REVERSE)

Figure not yet available electronically. See paper copy of form.

AL FIGURE 3. SAMPLE FORMAT FOR NOTIFICATION OF INITIAL REFUSAL TO GRANT ACCESS TO RECORD

Figure not yet available electronically. See paper copy of form.

AL FIGURE 4. SAMPLE AL FORM 1280-2

Figure not yet available electronically. See paper copy of form.

AL FIGURE 5. SAMPLE FORMAT FOR NOTIFICATION OF AMENDMENT OF A RECORD UNDER THE PRIVACY
ACT

Figure not yet available electronically. See paper copy of form.

AL FIGURE 6. SAMPLE FORMAT FOR NOTIFICATION OF INITIAL REFUSAL TO AMEND A RECORD

Figure not yet available electronically. See paper copy of form.

AL FIGURE 7. SAMPLE FORMAT FOR ACKNOWLEDGMENT OF RECEIPT OF STATEMENT OF
DISAGREEMENT

Figure not yet available electronically. See paper copy of form.

AL FIGURE 8. SAMPLE AL FORM 1280-3

Figure not yet available electronically. See paper copy of form.

AL FIGURE 9. SAMPLE FORMAT FOR NOTIFICATION OF RECORDS MADE AVAILABLE UNDER
COMPULSORY LEGAL PROCESS

Figure not yet available electronically. See paper copy of form.