

for delayed filing. Certificates accepted more than six months after the time prescribed for filing in paragraph (a) of this section shall contain the date of the delayed filing and shall be marked "delayed." A summary statement of the evidence submitted in support of the acceptance for delayed filing shall be endorsed on the certificate. Such evidence shall be kept in a special permanent file.

**§9.37 Altered certificates.**

Certificates of marriage, birth, still-birth, or death filed in the Vital Statistics Unit may be altered upon the submission to, and receipt by, the Vital Statistics Unit of such evidence, in the form of affidavits or otherwise, as that unit deems sufficient to establish satisfactorily the truth of the facts alleged in support of the request for alteration. Certificates which are altered after being filed shall contain the date of the alteration and shall be marked "altered." A summary statement of the evidence submitted in support of the acceptance for alteration shall be endorsed on the certificate. Such evidence shall be kept in a special permanent file.

**§9.38 Certified copies of records.**

Subject to the restrictions contained in §9.39, a certified copy of a certificate on file or any part thereof shall be furnished to any applicant upon request. The person designated by the Administrator or by the Administrator's designee to act as Vital Statistics Clerk shall be the person to certify copies of such certificates or parts thereof. Charges shall be made for certified copies of vital statistics records at the rate prescribed in the official Panama Canal Commission tariff.

**§9.39 Disclosure of records.**

Inspection of a vital statistics record is not permitted, and a certified copy of a certificate or part thereof may not be issued, unless the Vital Statistics Unit is satisfied that the applicant has a direct and legitimate interest in the matter recorded or that the information therein contained is necessary for the determination of personal or property rights.

**PART 10—ACCESS TO INFORMATION ABOUT INDIVIDUALS**

Sec.

- 10.1 Purpose of this part.
- 10.2 The Privacy Act of 1974.
- 10.3 Definitions.
- 10.4 When this part applies.
- 10.5 How to make a Privacy Act request.
- 10.6 How to identify yourself.
- 10.7 How your Privacy Act request will be handled.
- 10.8 When, where, and under what conditions you may review the records.
- 10.9 Special procedures for medical records.
- 10.10 How to request review of a system manager's denial of access.
- 10.11 Fees for Privacy Act requests.
- 10.12 How to request amendment of your record under the Privacy Act.
- 10.13 How your Privacy Act request for amendment will be handled.
- 10.14 How to appeal a refusal to amend a record under the Privacy Act.
- 10.15 How your Privacy Act appeal will be handled.
- 10.16 Rights of parents and legal guardians.
- 10.17 Conditions under which the Commission may disclose an individual's record to other persons.
- 10.18 Accounting of certain disclosures.
- 10.19 Records about deceased persons.
- 10.20 Penalties for noncompliance with the Act.
- 10.21 General exemptions.
- 10.22 Specific exemptions.

APPENDIX A TO PART 10—GENERAL ROUTINE USES

AUTHORITY: 5 U.S.C. 552a.

SOURCE: 44 FR 75312, Dec. 19, 1979, unless otherwise noted.

**§10.1 Purpose of this part.**

The purpose of this part is to establish Panama Canal Commission policies and procedures for implementing the Privacy Act of 1974 (Pub. L. 93-579), and particularly the provisions of 5 U.S.C. 552a.

**§10.2 The Privacy Act of 1974.**

The Privacy Act of 1974 (referred to in this part as "the Privacy Act") is a law which provides safeguards against the invasion of an individual's personal privacy. The Privacy Act creates a procedure for an individual to request access to or amendment of a record about himself or herself that is maintained

### § 10.3

by an agency of the United States Government. It also places certain restrictions on the disclosure of records containing information about an individual to other persons. The rest of the rules in this part:

- (a) Explain how you may request access to or amendment of records about yourself that are maintained by the Panama Canal Commission (referred to in this part as “the Commission” or “the agency”);
- (b) Explain the conditions under which the Commission may disclose information about an individual to others without the individual’s consent; and
- (c) List the systems of records maintained by the Commission which are exempt from certain provisions of the Privacy Act, including the provisions for access and amendment.

#### § 10.3 Definitions.

- (a) All terms used in this part which are defined in the Privacy Act (5 U.S.C. 552a(a)) shall have the same meanings as they do in that Act.
- (b) *Agency Records Officer* means the Chief, Administrative Services Division, Panama Canal Commission.
- (c) *Director of Executive Administration* means the Director, Office of Executive Administration of the Panama Canal Commission.
- (d) *System manager* means the official designated in the most recent Notice of Systems of Records published in the FEDERAL REGISTER, as having responsibility for a given system of records.

[44 FR 75312, Dec. 19, 1979, as amended at 46 FR 48659, Oct. 2, 1981]

#### § 10.4 When this part applies.

- (a) This part applies only to information about individuals that is maintained by the Panama Canal Commission in a system of records which has been described in a notice published in the FEDERAL REGISTER. This means that these regulations apply only to information about an individual that can be retrieved from a group of records by the individual’s name or other personal identifier (such as an employee identification number).
- (b) Where another agency (such as the Office of Personnel Management) has published a notice describing a sys-

### 35 CFR Ch. I (7–1–98 Edition)

tem of records that is partially under the control of the Panama Canal Commission, the Privacy Act regulations of that agency take precedence over the regulations in this part.

#### § 10.5 How to make a Privacy Act request.

- (a) You may find it helpful to review the descriptions of Commission systems of records, as published in the FEDERAL REGISTER, before you make a request. You may review these in the annual compilation of “Privacy Act Issuances,” available at libraries, or, upon request, at the Records Management Branch, Administration Building, Balboa Heights, Republic of Panama.
- (b) To find out whether a particular system of records contains information about you, or to request access to records about yourself, you must:
  - (1) Write or visit the system manager or the Agency Records Officer. The title and address of the system manager are given in the Notice of System of Records published in the FEDERAL REGISTER. The office of the Agency Records Officer is located in the Administration Building, Balboa Heights, Republic of Panama, and that official’s mailing address is: Panama Canal Commission, Agency Records Officer, Unit 2300, APO AA 34011-2300 (or Balboa, Republic of Panama).
  - (2) Reasonably identify the system of records or the type of information, or records, you are interested in. Be as specific as you can. If you do not know which system of records is involved, it will be helpful if you identify the office where you believe the records may be located.
  - (3) Adequately identify yourself in accordance with the requirements contained in § 10.6 of this part.
- (c) If you make your request in writing, state in your letter that you are making a request under the Privacy Act and clearly mark the envelope with the words “Privacy Act Request.” A request under 5 U.S.C. 552a which is not properly addressed and is not marked in this way shall not be considered to have been received by the agency until it has actually been received

## Panama Canal Regulations

## § 10.8

by the system manager or the Agency Records Officer.

[44 FR 75312, Dec. 19, 1979, as amended at 59 FR 26123, May 19, 1994]

### § 10.6 How to identify yourself.

(a) If you make your request in person, or if you wish to review your records in person, you must identify yourself to the system manager or the Agency Records Officer (or to a person designated by one of those officials) by showing at least one identification document containing your picture (for example, employee identification card, driver's license, passport), or at least two identification documents containing your signature, or other identification acceptable to the official concerned.

(b) If you make your request in writing, you must supply information that will help to verify your identity (for example, signature, employee identification number, date and place of birth), and you may also be required to provide the certificate of a notary public or other official authorized to administer oaths.

(c) Whether making your request in person or in writing, if you cannot identify yourself to the satisfaction of the system manager or the Agency Records Officer (or the person designated by one of those officials), you may be asked to make and sign a written statement asserting your identity and indicating that you understand that knowingly and willfully requesting or obtaining access to any record about another individual under false pretenses is a misdemeanor punishable by a fine of up to \$5,000 (5 U.S.C. 552a(i)(3)).

### § 10.7 How your Privacy Act request will be handled.

(a) The system manager or the Agency Records Officer will acknowledge receipt of your request within ten working days. At the same time, or as soon as possible after acknowledging receipt, that official will:

(1) Tell you that a record about you is maintained in the system of records you identified and tell how you may review it, or get a copy; or

(2) Tell you that no record about you is maintained in the system of records you identified; or

(3) Tell you that your inquiry cannot be answered or your request cannot or will not be granted because you have not adequately identified yourself or the system of records; because the system of records in question is exempt from the access provisions of the Privacy Act; or because the record or system of records in question is not under the control of the Commission.

(b) When the system manager or the Agency Records Officer makes a decision to grant you access to the records you requested, you normally may see the records or get copies of them right away. If, for any reason, the records cannot be provided immediately, that official will arrange with you a mutually acceptable time and place for you to review and copy the records. If that official cannot make the records available to you within 30 working days of receipt of your request, that official will advise you in writing of the reason for the delay.

### § 10.8 When, where, and under what conditions you may review the records.

(a) If you want to review your records in person, you will normally be required to go during regular working hours to the location specified in the Notice of the System of Records or to the office of the Agency Records Officer, in the administration Building, Balboa Heights, Republic of Panama. If you cannot go in person during regular working hours, you should telephone or write the system manager or the Agency Records Officer so that appropriate arrangements can be made for you to review the records.

(b) You must identify yourself to the system manager or the Agency Records Officer (or to a person designated by one of those officials) in accordance with the requirements contained in § 10.6 of this part.

(c) If you have been told that you may review your records in person, you may, upon your request, be accompanied by a person of your choosing. You will however, have to provide the system manager with a written signed statement authorizing disclosure of the

records about you to that person, and authorizing discussion of your records in the presence of that person.

(d) You may be shown a copy of a record rather than the original record itself when the record is not maintained at, or cannot be transferred to, a location which is accessible to you. In that event, you will be charged for the copies only if you choose to retain them. If copies are made at your request, the agency will charge you the cost of making the copies, as stated in § 10.11 of this part.

(e) No one shall be allowed to inspect original agency records except under the immediate supervision of the system manager, or the Agency Records Officer, or a person designated by one of those officials.

**§ 10.9 Special procedures for medical records.**

(a) If you request medical records about yourself, including psychiatric and psychological records, the records will be made available to you only after the Director of Health and Safety, or that official's designee, determines that release of the records would not be likely to have an adverse effect on you. If they are not made available to you, upon your written request the medical records which are not otherwise exempt from disclosure may be reviewed by a licensed medical practitioner designated by you.

(b) School records of a psychological nature may be shown to the student who is the subject of the records or to the parent or guardian of the student only if the Director of Health and Safety, or that official's designee, determines that the release would not be likely to have an adverse effect on the individual who is the subject of the records.

**§ 10.10 How to request review of a system manager's denial of access.**

(a) If the system manager denies your request for records, in whole or in part, you may ask the Agency Records Officer to review that decision. The denial is not considered a final agency decision unless it has been reviewed and confirmed in writing by the Agency Records Officer.

(b) To request review of a system manager's denial, you must:

(1) Write to the Panama Canal Commission, Agency Records Officer, Unit 2300, APO AA 34011-2300 (or Balboa, Republic of Panama); and

(2) State in your letter that you are requesting review of the system manager's denial and clearly mark the envelope "Privacy Act Request for Review"; and

(3) Mail or deliver the request for review within ten working days after you receive the system manager's denial.

(c) Although it is not required, it may be helpful if you state in your request for review the reasons why you disagree with the decision on your request for access and your reasons for wanting the records.

[44 FR 75312, Dec. 19, 1979, as amended at 59 FR 26123, May 19, 1994]

**§ 10.11 Fees for Privacy Act requests.**

(a) The fees for copies of records made at your request under this section will be the same as the fees provided in § 9.11(a) (3), (4), (5), (6), (7); (c); and (e) of this title for copies of materials provided under the Freedom of Information Act.

(b) If your request for copies of records or portions of records is expected to involve fees of more than \$50, the Commission will not treat your request as having been received until:

(1) The Commission has sent you a written notification of the estimated fees; and

(2) You agree in writing to pay at least the estimated fees; and

(3) You pay part of the estimated fees in advance, if the agency requires such a deposit before it will begin to copy the records you have requested.

**§ 10.12 How to request amendment of your record under the Privacy Act.**

After you have reviewed your record, you may ask the Commission to correct or amend any portion of the record that you believe is not accurate, timely, relevant, or complete. To make a request for amendment, you must:

(a) Write to the Panama Canal Commission, Agency Records Officer, Unit 2300, APO AA 34011-2300 (or Balboa, Republic of Panama).

## Panama Canal Regulations

## § 10.15

(b) State in your letter that you are requesting amendment of a record under the Privacy Act, and clearly mark the envelope "Privacy Act Request for Amendment." A request for amendment of a record under 5 U.S.C. 552a which is not properly addressed and is not marked in this way shall not be considered to be received by the Commission until it has actually been received by the Agency Records Officer.

(c) In your letter, identify the system of records involved, if you can, and identify the particular record or portion of the record you wish to have corrected or amended. If possible, attach a copy of the record in question.

(d) Explain in your letter why you believe the record or portion of the record is not accurate, timely, relevant, or complete, and provide any evidence available to support your request.

(e) Include in your letter any other information that may be necessary for proper processing of your request.

[44 FR 75312, Dec. 19, 1979, as amended at 59 FR 26123, May 19, 1994]

### **§ 10.13 How your Privacy Act request for amendment will be handled.**

(a) The Agency Records Officer (or that official's designee) will decide whether your request for amendment of a record should be granted. That official (or the designee) will acknowledge receipt of your request within ten working days and will either notify you of the decision or tell you when you can expect to have the decision. If a decision cannot be made within 30 working days of the receipt of your request, the Agency Records Officer (or the designee) will advise you in writing of the circumstances causing the delay.

(b) If your request for amendment is granted, in whole or in part:

(1) The Agency Records Officer (or that official's designee) will notify you of this decision;

(2) The system manager will promptly correct the record; and

(3) Where an accounting of disclosures has been maintained, the system manager will advise all previous recipients of the record that the correction has been made.

(c) If your request for amendment is denied, in whole or in part, the Agency Records Officer (or that official's designee) will notify you of this decision and will:

(1) Tell you why the request is being denied;

(2) Tell you that you have the right to request further review by appealing the decision; and

(3) Tell you how to make an appeal.

### **§ 10.14 How to appeal a refusal to amend a record under the Privacy Act.**

(a) If the Agency Records Officer (or that official's designee) has denied your request to amend a record, you may request the Executive Secretary to review that decision. This is called "making an appeal."

(b) To make an appeal, you must:

(1) Write to the Panama Canal Commission, Director, Office of Executive Administration, Unit 2300, APO AA 34011-2300 (or Balboa, Republic of Panama); and

(2) State in your letter that you are appealing a denial of a request for amendment under the Privacy Act, and clearly mark the envelope "Privacy Act Appeal"; and

(3) Mail or deliver the letter of appeal within ten working days after you receive the initial agency denial.

[44 FR 75312, Dec. 19, 1979, as amended at 46 FR 48659, Oct. 2, 1981; 59 FR 26123, May 19, 1994]

### **§ 10.15 How your Privacy Act appeal will be handled.**

(a) The official responsible for deciding whether to grant your appeal is the Director of Executive Administration of the Panama Canal Commission. The Director of Executive Administration will review the refusal to amend your record and will advise you of his decision within 30 working days or receipt of your appeal.

(b) If the Director of Executive Administration grants your appeal, in whole or in part:

(1) That official will notify you of the decision;

(2) The system manager will promptly correct the record; and

(3) Where an accounting of disclosures has been maintained, the system

manager will advise all previous recipients of the record that the correction has been made.

(c) If the Director of Executive Administration denies your appeal, in whole or in part, the letter sent to notify you of this decision must:

(1) Tell you why the appeal is being denied;

(2) Tell you that this denial of your appeal is a final agency decision;

(3) Tell you that you have the right to file a concise statement of your reasons for disagreeing with the decision of the agency; and

(4) Tell you that you have the right to request a U.S. District Court to review this denial of your appeal, as provided by 5 U.S.C. 552a(g).

(d) The Administrator of the Panama Canal Commission may extend the 30-working-day period specified in paragraph (a) of this section for good cause shown. In that case, the Agency Records Officer will notify you in writing of the reason for the delay and will tell you when you can expect a decision on your appeal.

(e) If you choose to file a concise statement of your reasons for disagreeing with the agency's refusal to amend your record:

(1) The system manager shall cause a notation to be made on the disputed portion of the record;

(2) Copies of your statement of disagreement will be provided to anyone to whom the disputed record is subsequently disclosed and (to the extent that an accounting of disclosures has been maintained) to any previous recipients of the disputed record; and

(3) The Commission may, at its discretion, make a brief summary of its reasons for not amending the record and may provide this summary, along with your statement of disagreement, to previous or subsequent recipients of the disputed record.

[44 FR 75312, Dec. 19, 1979, as amended at 46 FR 48659, Oct. 2, 1981]

#### **§10.16 Rights of parents and legal guardians.**

The parent or legal guardian of a minor or the legal guardian of an individual who has been declared incompetent may request access to, or amendment of, a record on behalf of

that individual. To do so, a parent will be required to show a certified or authenticated copy of the minor's birth certificate, and a legal guardian will be required to show a certified or authenticated copy of the court order establishing guardianship. In some cases, the parent or legal guardian of a minor may be asked to provide evidence that the minor is in the parent's or guardian's custody, that the minor has consented to disclosure of the information to the parent or guardian, or that the parent or guardian has authority to act on the minor's behalf.

#### **§10.17 Conditions under which the Commission may disclose an individual's record to other persons.**

(a) The Commission shall not disclose information about an individual that is contained in one of its systems of records to any person or to another agency, except by written request of, or with the prior written consent of, the individual who is the subject of the record, unless the disclosure is authorized by paragraph (b) of this section or is required by other applicable law.

(b) Under 5 U.S.C. 552a, the Commission may disclose information contained in its systems of records, without the consent of the individual who is the subject of the record, if the disclosure of the information, or record, would be:

(1) To the parent or legal guardian of any minor, or to the legal guardian of any individual who has been declared to be incompetent by a court of competent jurisdiction, where such person is acting on the individual's behalf (5 U.S.C. 552a(h));

(2) To those officers and employees of the Commission who have a need for the information in the performance of their duties (5 U.S.C. 552a(b)(1));

(3) Required under 5 U.S.C. 552, the Freedom of Information Act (5 U.S.C. 552a(b)(2));

(4) For a routine use as defined in 5 U.S.C. 552a(a)(7) and as described for all systems of records in Appendix A of this part and for specific systems of records in the Notice of Systems of Records published in the FEDERAL REGISTER (5 U.S.C. 552a(b)(3));

(5) To the Bureau of the Census for purposes of planning or carrying out a

## Panama Canal Regulations

## § 10.20

census or survey or related activity under the provisions of Title 13, U.S. Code (5 U.S.C. 552a(b)(4));

(6) To a recipient who has provided the Commission 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 (5 U.S.C. 552a(b)(5));

(7) 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 that official's designee to determine whether the record has such value (5 U.S.C. 552a(b)(6));

(8) 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 Commission specifying the particular portion desired and the law enforcement activity for which the record is sought (5 U.S.C. 552a(b)(7));

(9) 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 (5 U.S.C. 552a(b)(8));

(10) 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 (5 U.S.C. 552a(b)(9));

(11) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office (5 U.S.C. 552a(b)(10)); or

(12) Pursuant to the order of a court of competent jurisdiction (5 U.S.C. 552a(b)(11)).

### **§ 10.18 Accounting of certain disclosures.**

(a) The system manager or his designee shall keep an accurate accounting of each disclosure of personal information about an individual from a sys-

tem of records under his control which is made in accordance with § 10.17(b) of this part, except if that disclosure is to officers and employees of the Commission (§ 10.17(b)(2)) or is required under the Freedom of Information Act (§ 10.17(b)(3)).

(b) This accounting of disclosure shall include:

(1) The date, nature, and purpose of each such disclosure; and

(2) The name and address of the person or agency to whom the disclosure is made.

(c) The system manager shall retain this accounting of disclosure for at least five years after the disclosure or for the life of the record, whichever is longer.

(d) The Commission shall make the accounting of disclosure available to the individual named in the record, at that individual's request, except when the disclosure was made under § 10.17(b)(8) of this part or when the record in question is exempt from the access provisions of the Privacy Act under §§ 10.21 and 10.22 of this part. An individual may request access to the accounting of disclosure by the procedure for requesting access to records that is explained in §§ 10.5 through 10.10 of this part.

### **§ 10.19 Records about deceased persons.**

A record about a deceased person is not covered by the rules in this part, except to the extent that the deceased person's record contains information about a living individual. In disclosing information about a deceased person, the Commission will make every effort to avoid any infringement of the privacy rights of a living individual.

### **§ 10.20 Penalties for noncompliance with the Act.**

Subsections (g) and (i) of 5 U.S.C. 552a provide civil remedies and criminal penalties for noncompliance with the provisions of the Privacy Act of 1974 (Pub. L. 93-579) or regulations implementing that Act. In addition, adverse or disciplinary action may be taken against any officer or employee who willfully or negligently fails to comply with the requirements of the

Privacy Act or the regulations in this part.

**§ 10.21 General exemptions.**

(a) The following systems of records are eligible for exemption under 5 U.S.C. 552a(j)(2) because each system is maintained by a component of the agency, or subcomponent, which performs as its principal function the enforcement of criminal laws, and which contains investigatory material compiled for criminal law enforcement purposes. Accordingly, these systems are exempt from the following sections of 552a of 5 U.S.C.: (c) (3) and (4); (d); (e) (1), (2) and (3); (e)(4) (G) and (H); (e) (5); (e)(8); (f); (g); and (h).

(1) PCC/GSCP-2, Canal Protection Division Incident Report Files;

(2) PCC/OIG-1, Investigative Files of the Office of Inspector General;

(3) PCC/OIG-2, Allegation/Complaint Files of the Office of Inspector General;

(4) PCC/OIG-3, Cash Audit Files.

(b) The systems of records listed below, although no longer actively in use, continue to be subject to general exemption pursuant to 5 U.S.C. 552a(j)(2) because they were compiled by a component, or subcomponent, of the agency which performed as its principal function the enforcement of criminal laws, and which contain investigatory material compiled for criminal law enforcement purposes. Accordingly, the following systems of records are exempt from subsections (c)(3) and (4); (d); (e)(1), (2) and (3); (e)(4) (G) and (H); (e)(5); (e)(8); (f); (g); and (h) of 5 U.S.C. 552a:

(1) PCC/AEPR-1, Probation and Parole Unit Child Custody Reports;

(2) PCC/AEPR-2, Presentence and Preparole Investigation Reports;

(3) PCC/AEPR-3, Probation and Parole Unit Statistical File;

(4) PCC/GSPL-1, Law Enforcement Case Report File;

(5) PCC/GSPL-2, Police Headquarters Confidential File;

(6) PCC/GSPL-3, Detective Confidential Files;

(7) PCC/GSPL-4, Convict Files;

(8) PCC/GSPL-6, Police Photo Files;

(9) PCC/GSPL-7, Fingerprint File;

(10) PCC/GSPL-10, Master Name File;

(c) Exemptions from the particular subsections are justified for the following reasons:

(1) From (c)(3) because release of an accounting of disclosures to an individual who is the subject of an investigation could reveal the nature and scope of the investigation and could result in the altering or destruction of evidence, improper influencing of witnesses and other evasive action that could impede or compromise the investigation.

(2) From (c)(4) because this subsection is inapplicable to the extent that an exemption is being claimed for subsection (d).

(3) From subsection (d) because access to the records contained in these systems would inform the subject of a criminal or civil investigation, matter or case of the existence of such, and provide the subject with information that might enable him or her to avoid detection, apprehension or legal obligations, and present a serious impediment to law enforcement and other civil remedies. Amendment of the records would impose an impossible administrative burden by requiring investigations to be continuously reinvestigated.

(4) From subsection (e)(1) because it is often impossible to determine relevance or necessity of information in the early stages of an investigation. The value of such information is a question of judgment and timing; what appears relevant and necessary when collected may ultimately be evaluated and viewed as irrelevant and unnecessary to an investigation. In addition, information may be obtained concerning the violation of laws other than those within the scope of its jurisdiction. In the interest of effective law enforcement, information should be retained because it may aid in establishing patterns of unlawful activity and provide leads for other law enforcement agencies. Further, in obtaining evidence during an investigation, information may be provided which relates to matters incidental to the main purpose of the investigation but which may be pertinent to the investigative jurisdiction of another agency. Such information cannot readily be identified.

(5) From subsection (e)(2) because in a law enforcement investigation it is usually counterproductive to collect information to the greatest extent practicable directly from the subject thereof. It is not always feasible to rely upon the subject of an investigation as a source for information which may implicate him or her in illegal activities. In addition, collecting information directly from the subject could seriously compromise an investigation by prematurely revealing its nature and scope, or could provide the subject with an opportunity to conceal criminal activities, or intimidate potential sources, in order to avoid apprehension.

(6) From subsection (e)(3) because providing such notice to the subject of an investigation, or to other individual sources, could seriously compromise the investigation by prematurely revealing its nature and scope, or could inhibit cooperation, or permit the subject to evade apprehension.

(7) From (e)(4) (G) and (H); (f); (g); and (h) because these provisions concern an individual's access to records which concern him and such access to records in this system would compromise investigations, reveal investigatory techniques and confidential informants, and invade the privacy of private citizens who provide information in connection with a particular investigation.

(8) From subsection (e)(5) because in the collection of information for law enforcement purposes it is impossible to determine what information is accurate, relevant, timely, and complete. With the passage of time, seemingly irrelevant or untimely information may acquire new significance as further investigation brings new details to light and the accuracy of such information can only be determined in a court of law. The restrictions of subsection (e)(5) would restrict the ability of trained investigators to exercise their judgment in reporting on investigations and impede the development of information necessary for effective law enforcement.

(9) From subsection (e)(8) because the application of this provision could prematurely reveal an ongoing criminal investigation to the subject of the in-

vestigation and could reveal investigative techniques, procedures or evidence.

[59 FR 9089, Feb. 25, 1994]

#### § 10.22 Specific exemptions.

(a) The following systems of records are eligible for exemption under 5 U.S.C. 552a(k)(2) because they contain investigatory material compiled for law enforcement purposes, other than material within the scope of subsection (j)(2) of 5 U.S.C. 552a. Provided, however, that if any individual is denied any right, privilege or benefit that 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 January 1, 1975, under an implied promise that the identity of the source would be held in confidence. Accordingly, the following systems of records are exempt from (c)(3); (d); (e)(1); (e)(4) (G) and (H); (f); (g); and (h) of 5 U.S.C. 552a.

- (1) PCC/GSCP-2, Canal Protection Division Incident Report Files;
- (2) PCC/OIG-1, Investigative Files of the Office of Inspector General;
- (3) PCC/OIG-2, Allegation/Complaint Files of the Office of Inspector General;
- (4) PCC/OIG-3, Cash Audit Files.
- (5) PCC/FMAC-1, Embezzlements, Burglaries, and Cash Shortages;
- (6) PCC/EO-2, Equal Employment Opportunity Complaint File;
- (7) PCC/GCCL-1, Marine Accident/Miscellaneous General Claims Files;
- (8) PCC/GSCS-2, Housing Complaints Files;
- (9) PCC/GSCX-1, Administrative Reports, Transfer of Custody and Official Complaint Files.
- (10) PCC/AEPR-1, Probation and Parole Unit Child Custody Reports;
- (11) PCC/AEPR-2, Presentence and Preparole Investigation Reports;
- (12) PCC/AEPR-3, Probation and Parole Unit Statistical File;
- (13) PCC/CAPS-2, Case Investigations;
- (14) PCC/GSPL-1, Law Enforcement Case Report Files;

(15) PCC/GSPL-2, Police Headquarters Confidential File;

(16) PCC/GSPL-3, Detective Confidential Files;

(17) PCC/GSPL-4, Convict Files;

(18) PCC/GSPL-6, Police Photo Files;

(19) PCC/GSPL-7, Fingerprint File;

(20) PCC/GSPL-10, Master Name File;

(21) PCC/CZG-HL-2, Medical Administration System.

(b) Exemptions from the particular subsections are justified for the following reasons:

(1) From subsection (c)(3) because the release of the accounting of disclosures would permit the subject of a criminal investigation and/or civil case or matter under investigation, in litigation, or under regulatory or administrative review or action to obtain valuable information concerning the nature of that investigation, case or matter and present a serious impediment to law enforcement or civil legal activities.

(2) From (d); (e)(4) (G) and (H); (f); (g); and (h) because these provisions concern an individual's access to records which concern him and such access to records in this system would compromise investigations, reveal investigatory techniques and confidential informants, and invade the privacy of private citizens who provide information in connection with a particular investigation.

(3) From subsection (e)(1) because it is often impossible to determine relevancy or necessity of information in the early stages of an investigation. The value of such information is a question of judgment and timing; what appears relevant and necessary when collected may ultimately be evaluated and viewed as irrelevant and unnecessary to an investigation. In addition, information may be obtained concerning the violation of laws other than those within the scope of its jurisdiction. In the interest of effective law enforcement, this information should be retained because it may aid in establishing patterns of unlawful activity and provide leads for other law enforcement agencies. Further, in obtaining evidence during an investigation, information may be provided which relates to matters incidental to the main purpose of the investigation but which may be pertinent to the investigative

jurisdiction of another agency. Such information cannot readily be identified.

(c) The following systems of records are eligible for exemption under 5 U.S.C. 552a(k)(5) because they contain 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 January 1, 1975, under an implied promise that the identity of the source would be held in confidence. Accordingly, these systems of records are exempt from 5 U.S.C. 552a(c)(3) and (d).

(1) PCC/FMAC-1, Embezzlements, Burglaries, and Cash Shortages;

(2) PCC/PB-2, Appeals, Grievances, Complaints and Assistance Records;

(3) PCC/PB-3, Personnel Investigation Records;

(4) PCC/PR-5, Recruiting and Placement Records;

(5) PCC/PR-7, Personnel Reference Unit Files.

(6) PCC/OIG-1, Investigative Files of the Office of Inspector General;

(7) PCC/OIG-2, Allegation/Complaint Files of the Office of Inspector General;

(8) PCC/OIG-3, Cash Audit Files.

(d) Exemptions from the particular subsections are justified for the following reasons:

(1) From (c)(3) because release of an accounting of disclosure to an individual who is the subject of an investigation could compromise the investigation.

(2) From (d) because access to or amendment of records in these systems would reveal the identity(ies) of the source(s) of information collected in the course of a background investigation. Such knowledge might violate the explicit or implicit promise of confidentiality made to the source during the investigation or constitute an unwarranted invasion of the personal privacy of third parties, or reveal sensitive investigative techniques and procedures. Such breaches could restrict

the free flow of information vital to a determination of a candidate's qualifications and suitability.

(e) The following systems of records are eligible for exemption under 5 U.S.C. 552a (k)(6) because they contain 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. Accordingly, these systems of records are exempt from 5 U.S.C. 552a(d).

(1) PCC/CZG/BRAE-1, Canal Zone Board of Registration for Architects and Professional Engineers Reference Files;

(2) PCC/MRBL-1, Marine License Files;

(3) PCC/MRNA-1, Admeasurer Examination File;

(f) Exemptions from the particular subsections are justified for the following reasons:

(1) The exemption from (d) is justified because portions of records in these systems relate to testing or examining materials and are used solely to determine individual qualifications for appointment or promotion in the Federal service. Access to or amendment of this information would compromise the objectivity and fairness of the testing or examining process.

(2) [Reserved]

[59 FR 9090, Feb. 25, 1994]

#### APPENDIX A TO PART 10—GENERAL ROUTINE USES

Information about an individual which is maintained in any system of records under the control of the Panama Canal Commission is subject to disclosure, as a routine use of such information, to any of the following persons or agencies under the circumstances described:

1. Information indicating a violation or potential violation of law (whether civil, criminal, or regulatory in nature, and whether involving a statute or regulation or a rule or order issued pursuant thereto) may be referred to the federal, state, local, foreign, or international agency charged with inves-

tigating or prosecuting such violations or charged with implementing or enforcing the particular statute, or regulations, rule, or order, which is pertinent thereto.

2. Information which has a bearing on matters which may be in dispute may be disclosed in the course of presenting evidence or argument to a court or administrative tribunal, a judicial official, or counsel for a party in connection with litigation or administrative proceedings in which the agency, or its officers or employees, are or may become involved.

3. Information may be provided to persons or agencies from whom information is solicited, to the extent necessary to elicit facts which may be relevant to a financial audit or an agency decision to hire or retain an employee, issue a security clearance, award a contract, grant a license, or otherwise provide a benefit or incur an obligation.

4. Information may be disclosed to a Federal agency, in response to its request in a particular case or in a category of cases, in connection with that agency's (a) decision in a personnel matter; (b) financial audits and accounting; (c) issuance of a security clearance; (d) investigation of an individual employed or formerly employed by the Panama Canal Commission (or its predecessors); or (e) decision to award a contract, grant a license, or otherwise provide a benefit or incur an obligation.

5. Information may be supplied in response to an inquiry from a Member of Congress on behalf of an individual or, at any stage of the legislative coordination and clearance process, to the Office of Management and Budget in connection with the review of private relief legislation.

6. Information which has a bearing on the qualifications of professional personnel (such as architects, attorneys, engineers, medical practitioners, pilots, and teachers) who have been employed by the agency or have had professional dealings with the agency may be provided to the appropriate authorities such as professional licensing and certifying boards and grievance committees.

7. To the extent necessary for implementation of the Panama Canal Treaty of 1977 and related agreements, information may, upon approval by the Agency Records Officer (Chief, Administrative Services Division) or that official's designee, be disclosed to officials of the Government of the Republic of Panama and to U.S. Government agencies which, under the Treaty, assumed functions formerly performed by the Panama Canal Company or the Canal Zone Government.