

STATE-42

System name:

Munitions Control Records.

Security classification:

Unclassified and classified.

System location:

Department of State, Annex 6; Room 200; 1700 Lynn St.; Arlington, VA 22209.

Categories of individuals covered by the system:

Exporters of defense articles and defense services with or without Department of State authorization; individuals who are applicants for export licenses; individuals who are registered as exporters; and individuals who are brokers for sales of defense articles or defense services who completed registration statements or submitted requests for approval of a brokering activity.

Authority for maintenance of the system:

22 U.S.C. 2651A (Organization of the Department of State); 22 U.S.C. 3921 (Management of service); 5 U.S.C. 301 (Management of the Department of State); 22 U.S.C. 2778 (Arms Export Control Act).

Categories of records in the system:

Correspondence, registration statements when a principal executive officer or owner is the same as the applicant, and checks for registration fees sent to the Department of State (Department) when an individual registers as a manufacturer, exporter and/or broker of defense articles or defense services; copies of letters to individuals and businesses from the Department Pertaining to their registration; Proposed Charging Letters and Orders and Consent Agreements pertaining to the Department's administrative cases; correspondence, memoranda, federal court documents, telegrams, other government agency reports, and E-Mail messages between the Department and other federal agencies regarding law enforcement and intelligence information about defense trade activities pertaining to the subject of the record.

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

The information in this system is used primarily by the Office of Defense Trade Controls when making determinations regarding:

- (a) Individuals who have been authorized to export or retransfer a defense article, defense service or related technical data;
- (b) Which commodities, quantities, and dollar values were authorized for export and the extent of any export violations;
- (c) Administrative charges imposed on an individual for violating the export regulations; and
- (d) The removal of export privileges.

The information may also be used to send required reports to Congress about certain defense trade transactions. The principal users of this information outside the Department of State are the U.S. Customs Service and the Department of Justice for their investigations of violations of the Arms Export Control Act. This information may also be released to

other federal intelligence and law enforcement agencies pursuant to statutory intelligence and law enforcement responsibilities or for other lawful purposes.

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

Storage:

Electronic media, hard copy.

Retrievability:

Individual name.

Safeguards:

All employees of the Department of State have undergone a thorough background security investigation. Access to the Department and its annexes is controlled by security guards and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. Access to Annex 6 has security access controls (code entrances) and/or security alarm systems. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel. Access to computerized files is password-protected and under the direct supervision of the system manager. The system manager has the capability of printing audit trails of access from the computer media, thereby permitting regular and ad hoc monitoring of computer usage.

Retention and disposal:

These records will be maintained until they become inactive, at which time they will be destroyed or retired to the Federal Records Center according to published records schedules of the Department of State and as approved by the National Archives and Records Administration. Licenses and license applications will be destroyed after fifteen years. More specific information may be obtained by writing to the Director; Office of IRM Programs and Services; Room 1239; Department of State; 2201 C Street, NW; Washington, DC 20520-1512.

System manager(s) and address:

Director, Office of Defense Trade Controls, Bureau of Political-Military Affairs, SA-6, Room 200, Department of State, Washington, DC 20522-0602.

Notification procedure:

Individuals who have reason to believe that the Bureau of Political-Military Affairs (Office of defense Trade Controls) might have information pertaining to themselves should write to the Director; Office of IRM Programs and Services; Room 1239; Department of State; 2201 C Street, NW; Washington, DC 20520-1512. The individual must specify that he/she wishes the Office of Defense Trade Controls to be checked. At minimum, the individual must include: name; date and place of birth; current mailing address and zip code; signature; and a brief description of the circumstances which may have caused the creation of the record including the approximate dates of the circumstances which give the individual cause to believe that the Office of Defense Trade Controls may have records pertaining to him/her.

Record access procedure:

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

Record source categories:

These records contain information obtained from the individual, from the organization the individual represents and intelligence and law enforcement agencies.

Systems exempted from certain provisions of the act:

Portions of certain records contained within this system of records are exempted from 5 U.S.C. 552a (c)(3), (d), (e)(1), (3)(4)(G), (H) and (I), and (f). See Department of States rules published in the Federal Register.