

# FOIA MARKER

**This is not a textual record. This is used as an administrative marker by the William J. Clinton Presidential Library Staff.**

---

**Collection/Record Group:** Clinton Presidential Records  
**Subgroup/Office of Origin:** National AIDS Policy Office  
**Series/Staff Member:** Sandra Thurman  
**Subseries:**

---

**OA/ID Number:** 40014  
**FolderID:**

---

**Folder Title:**  
Admin - Staff - Thurman, Sandra

**Stack:**  
**S**

**Row:**  
**66**

**Section:**  
**5**

**Shelf:**  
**11**

**Position:**  
**3**

# Withdrawal/Redaction Sheet

## Clinton Library

| DOCUMENT NO.<br>AND TYPE | SUBJECT/TITLE                                                         | DATE       | RESTRICTION |
|--------------------------|-----------------------------------------------------------------------|------------|-------------|
| 001. form                | re: Request for leave [Personally Identifiable Information] (1 page)  | 06/29/2000 | b(6)        |
| 002. form                | re: Request for leave [Personally Identifiable Information] (1 page)  | 07/26/2000 | b(6)        |
| 003. forms               | re: Request for leave [Personally Identifiable Information] (2 pages) | 12/21/1999 | b(6)        |
| 004. forms               | re: Seperation action [Personally Identifiable Information] (2 pages) | 01/19/2001 | b(6)        |

### COLLECTION:

Clinton Presidential Records  
National AIDS Policy Office  
Sandra Thurman  
OA/Box Number: 40014

### FOLDER TITLE:

Admin - Staff - Thurman, Sandra

2018-0764-F

jm1996

### RESTRICTION CODES

#### Presidential Records Act - [44 U.S.C. 2204(a)]

- P1 National Security Classified Information [(a)(1) of the PRA]
- P2 Relating to the appointment to Federal office [(a)(2) of the PRA]
- P3 Release would violate a Federal statute [(a)(3) of the PRA]
- P4 Release would disclose trade secrets or confidential commercial or financial information [(a)(4) of the PRA]
- P5 Release would disclose confidential advice between the President and his advisors, or between such advisors [(a)(5) of the PRA]
- P6 Release would constitute a clearly unwarranted invasion of personal privacy [(a)(6) of the PRA]

C. Closed in accordance with restrictions contained in donor's deed of gift.

PRM. Personal record misfile defined in accordance with 44 U.S.C. 2201(3).

RR. Document will be reviewed upon request.

#### Freedom of Information Act - [5 U.S.C. 552(b)]

- b(1) National security classified information [(b)(1) of the FOIA]
- b(2) Release would disclose internal personnel rules and practices of an agency [(b)(2) of the FOIA]
- b(3) Release would violate a Federal statute [(b)(3) of the FOIA]
- b(4) Release would disclose trade secrets or confidential or financial information [(b)(4) of the FOIA]
- b(6) Release would constitute a clearly unwarranted invasion of personal privacy [(b)(6) of the FOIA]
- b(7) Release would disclose information compiled for law enforcement purposes [(b)(7) of the FOIA]
- b(8) Release would disclose information concerning the regulation of financial institutions [(b)(8) of the FOIA]
- b(9) Release would disclose geological or geophysical information concerning wells [(b)(9) of the FOIA]

Lists  
Sandra thurman  
Bills  
Vouchers  
Volunteer forms  
Waves procedures  
Tour handbook  
Presidential message request  
Phone system  
Mess catering  
Personnel forms  
Scheduling request  
Strategic plan  
Request for parking  
Potus acknowledgement form  
Room reservation forms  
Expense reimbursement  
Facility request  
Leave request  
HUD MOU  
Document request  
Office design plans  
Organizational charts  
Contact information  
Computer repair  
Contractor  
Bank card training  
ONAP budget  
Budget photo request  
Agency rep  
American express  
October 2000  
Mary may  
Montoya  
Murguia  
Barks-ruggles  
Goosby  
Congress  
Rolling stone  
Record management  
Travel voucher  
Random letters  
Puerto rico  
Press presidential message

Off #  
24223  
20477

**Inventory -- National AIDS Strategy**

**BOX 2 OF 6**

**References**

White House Printing Office

Draft Outline, 1-3-96

Draft Outline, 1-11-96

Draft Outline, 1-18-96

Agency Review

NIH Comments

**9003**  
ENCLOSURES FILED OVERSIZE ATTACHMENTS  
NARA 6512

# Withdrawal/Redaction Marker

## Clinton Library

| DOCUMENT NO.<br>AND TYPE | SUBJECT/TITLE                                                        | DATE       | RESTRICTION |
|--------------------------|----------------------------------------------------------------------|------------|-------------|
| 001. form                | re: Request for leave [Personally Identifiable Information] (1 page) | 06/29/2000 | b(6)        |

### COLLECTION:

Clinton Presidential Records  
National AIDS Policy Office  
Sandra Thurman  
OA/Box Number: 40014

### FOLDER TITLE:

Admin - Staff - Thurman, Sandra

2018-0764-F

jm1996

### RESTRICTION CODES

Presidential Records Act - [44 U.S.C. 2204(a)]

- P1 National Security Classified Information [(a)(1) of the PRA]
- P2 Relating to the appointment to Federal office [(a)(2) of the PRA]
- P3 Release would violate a Federal statute [(a)(3) of the PRA]
- P4 Release would disclose trade secrets or confidential commercial or financial information [(a)(4) of the PRA]
- P5 Release would disclose confidential advice between the President and his advisors, or between such advisors [(a)(5) of the PRA]
- P6 Release would constitute a clearly unwarranted invasion of personal privacy [(a)(6) of the PRA]

C. Closed in accordance with restrictions contained in donor's deed of gift.

PRM. Personal record misfile defined in accordance with 44 U.S.C. 2201(3).

RR. Document will be reviewed upon request.

Freedom of Information Act - [5 U.S.C. 552(b)]

- b(1) National security classified information [(b)(1) of the FOIA]
- b(2) Release would disclose internal personnel rules and practices of an agency [(b)(2) of the FOIA]
- b(3) Release would violate a Federal statute [(b)(3) of the FOIA]
- b(4) Release would disclose trade secrets or confidential or financial information [(b)(4) of the FOIA]
- b(6) Release would constitute a clearly unwarranted invasion of personal privacy [(b)(6) of the FOIA]
- b(7) Release would disclose information compiled for law enforcement purposes [(b)(7) of the FOIA]
- b(8) Release would disclose information concerning the regulation of financial institutions [(b)(8) of the FOIA]
- b(9) Release would disclose geological or geophysical information concerning wells [(b)(9) of the FOIA]

THE WHITE HOUSE  
WASHINGTON  
February 1, 2000

disregard per  
Terry Weeks.  
investigated -  
May '97.

MEMORANDUM FOR SANDRA LYNE THURMAN

FROM:

*Charles C. Easley*  
CHARLES C. EASLEY  
EOP SECURITY OFFICER

SUBJECT:

Reinvestigation

White House policy requires all individuals who have been issued a pass to the White House Complex to undergo a periodic reinvestigation every five years. Your last investigation was completed on 03-01-95.

Please complete the enclosed SF-86, tax check waiver, and credit check consent form, and return them in person to the EOP security office (Room 4101 NEOB) no later than **02-22-00**. **Carefully follow instructions on the attached supplement instruction sheet from the White House Counsel.**

**For items #9 and #11, you need only go back to the date of your last investigation.**

If you have any questions, please contact the EOP Security Office on X5-6206.

Thank you for your cooperation.

Attachments

gww

THE WHITE HOUSE  
WASHINGTON

MEMORANDUM FOR WHITE HOUSE STAFF

FROM: EOP SECURITY OFFICE

RE: DIRECTIONS FOR COMPLETING THE SECURITY PACKET FOR  
FIVE-YEAR REINVESTIGATION

In order to initiate a five-year reinvestigation, you are being provided with the enclosed package of security forms for your completion. The FBI cannot begin its full-field investigation until your forms are **TYPED**, completed and signed. Also enclosed for your convenience is a copy of your last completed SF-86. **\*\*REMEMBER ALL FORMS MUST BE TYPED AND EACH REQUIRES AN ORIGINAL SIGNATURE!**

A completed package should consist of:

| <u>ITEM</u>                                                            | <u>NUMBER OF COPIES NEEDED</u>                                                                                                      |
|------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| 1. Questionnaire for Sensitive Positions (SF-86) plus any attachments. | <b>Three copies, all with original signatures.</b><br>Note: The SF-86 requires three signatures including the Medical Release form. |
| 2. Tax Check Waiver                                                    | <b>Total of three copies double-sided all with original signatures.</b>                                                             |
| 3. Credit Check Consent Form                                           | <b>Three original copies.</b>                                                                                                       |

The SF-86 Form is available on computer in Room 4101, NEOB, from 8:15 AM – 5:45 PM, Monday-Friday (excluding holidays). You are required to supply your own formatted 3½-inch floppy.

If you have any questions or concerns, please contact the EOP Security Office at 202-395-6206.

Thank you.

INSTRUCTIONS FOR COMPLETING STANDARD FORM 86,  
"QUESTIONNAIRE FOR NATIONAL SECURITY POSITION"

It is imperative that the following instructions be read and followed when completing the Standard Form 86 (SF-86).

\* Although many of the questions on the SF-86 ask you to answer looking back 7 years, you must answer looking back 15 years or to your 18th birthday, whichever is more recent.

As a prospective Presidential appointee or an individual applying for access to the White House complex, it will be necessary for you to provide additional information to that requested on the SF-86. It is essential that all information be provided in as much detail as requested in order to ensure that the FBI is able to conduct a thorough and complete investigation. Ambiguous and incomplete information will impede the investigation and will cause valuable time to be lost in the investigative process.

GENERAL INSTRUCTIONS

1. Although the instructions on the SF-86 indicate that you may legibly print your answers, you must type this form and all attachments.

2. Do not abbreviate the names of cities. Please include zip codes, as well.

3. Be specific; exact and complete dates, names, addresses, and explanations will be helpful for the expeditious handling of the investigation. When you have completed the form, please review it for thoroughness and continuity.

\* 4. Make sure all copies have original signatures (not traced over a copied signature) on all pages requiring signatures. Signatures are required on pages 9, 10 and 11.

SPECIFIC INSTRUCTIONS

Section #3

Citizenship: If you are a U.S. citizen other than by birth.

Section #9

Where you have lived: If a residence is in an apartment complex, include the name of the complex and the specific unit number. If the residence was leased or rented, include the name of the individual in whose name the rental agreement or lease was established.

Section #10

\* Where you went to school: Although it asks you to list schools starting with the most recent and working back 7 years, please list all education received including high school.

Section #11

Your employment activities: Please provide complete addresses (street/city/state/zip code) for each employment and job description listed. If government employment or employment by some other large organization is to be listed, indicate the department, bureau, division, and section, or specific subdivision.

Include all periods of unemployment, self employment, volunteer employment, or internships. Please provide names, complete addresses and telephone numbers of persons who can verify periods of unemployment or self-employment, to include individuals employed by you, landlords, friends, cohabitant, competitors, or clients.

Section #12

\* People who know you well: Please provide complete business (including names of businesses) and business telephone numbers. (Both home and work addresses must be provided).

Section #14

\*\*\* Your relatives and associates: Although the SF-86 requests only the country of birth, also provide the city and state or city and country of birth. \*\*\* If any relatives or cotenant were born outside the United States and/or are a U.S. citizen other than by birth, execute the 'Immigration Addendum OFI 35.' If relatives live overseas, please indicate whether or not they are with the military. Provide their complete addresses, including city and country. Do not list APO or FPO addresses.

Include the full name, complete date of birth, and place of birth (city and state) of all individuals who presently reside in your household, not only those who are non-U.S. citizens.

Section #16

Your military history: If you are a member of a military reserve component or National Guard unit,

list the organization, its location, the name of your immediate officer and telephone number, if any.

Section #20

Your selective service record: If you have registered with the Selective Services, you must include your registration number. Inquiries into your registration can be directed to the Selective Service at 847-688-6888.

Section #21

Your employment record: If you have ever been denied employment while undergoing or upon completion of a background investigation or polygraph examination, please identify prospective employer and date and reason for voluntary/involuntary withdrawal from consideration.

Section #23f

Your police record: Please indicate all arrests, charges, and convictions except traffic fines of \$150.00 or less.

Sections #24 and 25

Use of illegal drugs and drug activity/use of alcohol: Do not limit your responses to these questions to the last 7 years, instead your answers must go back to your eighteen birthday. List and explain if you have ever abused any legal/prescription drugs to the point of dependency. In addition, list any treatment for drug and/or alcohol abuse.

Sections #27 and 28

Your financial record: If a collection procedure has ever been instituted against you by federal, state, or local authorities, please give full details. If you received financial aid during college, indicate whether or not such obligations have been satisfied.

If you have any questions, please call the EOP Security Office at 202-395-6206.

# Questionnaire for National Security Positions

Follow instructions fully or we cannot process your form. Be sure to sign and date the certification statement on page 9 and the release on page 10. *If you have any questions, call the office that gave you the form.*

## Purpose of this Form

The U.S. Government conducts background investigations and reinvestigations to establish that military personnel, applicants for or incumbents in national security positions, either employed by the Government or working for Government contractors, licensees, certificate holders, and grantees, are eligible for a required security clearance. Information from this form is used primarily as the basis for investigation for access to classified information or special nuclear information or material. Complete this form only after a conditional offer of employment has been made for a position requiring a security clearance.

Giving us the information we ask for is voluntary. However, we may not be able to complete your investigation, or complete it in a timely manner, if you don't give us each item of information we request. This may affect your placement or security clearance prospects.

## Authority to Request this Information

Depending upon the purpose of your investigation, the U.S. Government is authorized to ask for this information under Executive Orders 10450, 10865, 12333, and 12356; sections 3301 and 9101 of title 5, U.S. Code; sections 2165 and 2201 of title 42, U.S. Code; sections 781 to 887 of title 50, U.S. Code; and parts 5, 732, and 736 of Title 5, Code of Federal Regulations.

Your Social Security number is needed to keep records accurate, because other people may have the same name and birth date. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

## The Investigative Process

Background investigations for national security positions are conducted to develop information to show whether you are reliable, trustworthy, of good conduct and character, and loyal to the United States. The information that you provide on this form is confirmed during the investigation. Investigation may extend beyond the time covered by this form when necessary to resolve issues. Your current employer must be contacted as part of the investigation, even if you have previously indicated on applications or other forms that you do not want this.

In addition to the questions on this form, inquiry also is made about a person's adherence to security requirements, honesty and integrity, vulnerability to exploitation or coercion, falsification, misrepresentation, and any other behavior, activities, or associations that tend to show the person is not reliable, trustworthy, or loyal.

## Your Personal Interview

Some investigations will include an interview with you as a normal part of the investigative process. This provides you the opportunity to update, clarify, and explain information on your form more completely, which often helps to complete your investigation faster. It is important that the interview be conducted as soon as possible after you are contacted. Postponements will delay the processing of your investigation, and declining to be interviewed may result in your investigation being delayed or canceled.

You will be asked to bring identification with your picture on it, such as a valid State driver's license, to the interview. There are other documents you may be asked to bring to verify your identity as well. These include documentation of any legal name change, Social Security card, and/or birth certificate.

You may also be asked to bring documents about information you provided on the form or other matters requiring specific attention. These matters include alien registration, delinquent loans or taxes, bankruptcy, judgments, liens, or other financial obligations, agreements involving child custody or support, alimony or property settlements, arrests, convictions, probation, and/or parole.

## Organization of this Form

This form has two parts. Part 1 asks for background information, including where you have lived, gone to school, and worked. Part 2 asks about your activities and such matters as firings from a job, criminal history record, use of illegal drugs, and abuse of alcohol.

In answering all questions on this form, keep in mind that your answers are considered together with the information obtained in the investigation to reach an appropriate adjudication.

## Instructions for Completing this Form

1. Follow the instructions given to you by the person who gave you the form and any other clarifying instructions furnished by that person to assist you in completion of the form. Find out how many copies of the form you are to turn in. You must sign and date, in black ink, the original and each copy you submit. You should retain a copy of the completed form for your records.
2. Type or legibly print your answers in black ink (if your form is not legible, it will not be accepted). You may also be asked to submit your form in an approved electronic format.
3. All questions on this form must be answered. If no response is necessary or applicable, indicate this on the form (for example, enter "None" or "N/A"). If you find that you cannot report an exact date, approximate or estimate the date to the best of your ability and indicate this by marking "APPROX." or "EST."
4. Any changes that you make to this form after you sign it must be initialed and dated by you. Under certain limited circumstances, agencies may modify the form consistent with your intent.
5. You must use the State codes (abbreviations) listed on the back of this page when you fill out this form. Do not abbreviate the names of cities or foreign countries.
6. The 5-digit postal ZIP codes are needed to speed the processing of your investigation. The office that provided the form will assist you in completing the ZIP codes.
7. All telephone numbers must include area codes.
8. All dates provided on this form must be in Month/Day/Year or Month/Year format. Use numbers (1-12) to indicate months. For example, June 8, 1978, should be shown as 6/8/78.
9. Whenever "City (Country)" is shown in an address block, also provide in that block the name of the country when the address is outside the United States.
10. If you need additional space to list your residences or employments/self-employments/unemployments or education, you should use a continuation sheet, SF 86A. If additional space is needed to answer other items, use a blank piece of paper. Each blank piece of paper you use must contain **your name and Social Security Number at the top of the page.**

## Final Determination on Your Eligibility

Final determination on your eligibility for access to classified information is the responsibility of the Federal agency that requested your investigation. You may be provided the opportunity personally to explain, refute, or clarify any information before a final decision is made.

## Penalties for Inaccurate or False Statements

The U.S. Criminal Code (title 18, section 1001) provides that knowingly falsifying or concealing a material fact is a felony which may result in fines of up to \$10,000, and/or 5 years imprisonment, or both. In addition, Federal agencies generally fire, do not grant a security clearance, or disqualify individuals who have materially and deliberately falsified these forms, and this remains a part of the permanent record for future placements. Because the position for which you are being considered is a sensitive one, your trustworthiness is a very important consideration in deciding your eligibility for a security clearance. Your prospects of placement or security clearance

are better if you answer all questions truthfully and completely. You will have adequate opportunity to explain any information you give us on the form and to make your comments part of the record.

## Disclosure of Information

The information you give us is for the purpose of investigating you for a national security position; we will protect it from unauthorized disclosure. The collection, maintenance, and disclosure of background investigative information is governed by the Privacy Act. The agency which requested the investigation and the agency which conducted the investigation have published notices in the Federal Register describing the systems of records in which your records will be maintained. You may obtain copies of the relevant notices from the person who gave you this form. The information on this form, and information we collect during an investigation may be disclosed without your consent as permitted by the Privacy Act (5 USC 552a (b) ) and as follows:

## PRIVACY ACT ROUTINE USES

1. To the Department of Justice when: (a) the agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (d) the United States Government, is a party to litigation or has interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation and the use of such records by the Department of Justice is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records.

2. To a court or adjudicative body in a proceeding when: (a) the agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (d) the United States Government, is a party to litigation or has interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation and the use of such records is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records.

3. Except as noted in Question 24, when a record on its face, or in conjunction with other records, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute, particular program statute, regulation, rule, or order issued pursuant thereto, the relevant records may be disclosed to the appropriate Federal, foreign, State, local, tribal, or other public authority responsible for enforcing, investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order.

4. To any source or potential source from which information is requested in the course of an investigation concerning the hiring or retention of an employee or other personnel action, or the issuing or retention of a security clearance, contract, grant, license, or other benefit, to the extent necessary to identify the individual, inform the source of the nature and purpose of the investigation, and to identify the type of information requested.

5. To a Federal, State, local, foreign, tribal, or other public authority the fact that this system of records contains information relevant to the retention of an employee, or the retention of a security clearance, contract, license, grant, or other benefit. The other agency or licensing organization may then make a request supported by written consent of the individual for the entire record if it so chooses. No disclosure will be made unless the information has been determined to be sufficiently reliable to support a referral to another office within the agency or to another Federal agency for criminal, civil, administrative, personnel, or regulatory action.

6. To contractors, grantees, experts, consultants, or volunteers when necessary to perform a function or service related to this record for which they have been engaged. Such recipients shall be required to comply with the Privacy Act of 1974, as amended.

7. To the news media or the general public, factual information the disclosure of which would be in the public interest and which would not constitute an unwarranted invasion of personal privacy.

8. To a Federal, State, or local agency, or other appropriate entities or individuals, or through established liaison channels to selected foreign governments, in order to enable an intelligence agency to carry out its responsibilities under the National Security Act of 1947 as amended, the CIA Act of 1949 as amended, Executive Order 12333 or any successor order, applicable national security directives, or classified implementing procedures approved by the Attorney General and promulgated pursuant to such statutes, orders or directives.

9. To a Member of Congress or to a Congressional staff member in response to an inquiry of the Congressional office made at the written request of the constituent about whom the record is maintained.

10. To the National Archives and Records Administration for records management inspections conducted under 44 USC 2904 and 2906.

11. To the Office of Management and Budget when necessary to the review of private relief legislation.

## STATE CODES (ABBREVIATIONS)

|                 |    |                   |    |               |    |                   |    |               |    |
|-----------------|----|-------------------|----|---------------|----|-------------------|----|---------------|----|
| Alabama         | AL | Hawaii            | HI | Massachusetts | MA | New Mexico        | NM | South Dakota  | SD |
| Alaska          | AK | Idaho             | ID | Michigan      | MI | New York          | NY | Tennessee     | TN |
| Arizona         | AZ | Illinois          | IL | Minnesota     | MN | North Carolina    | NC | Texas         | TX |
| Arkansas        | AR | Indiana           | IN | Mississippi   | MS | North Dakota      | ND | Utah          | UT |
| California      | CA | Iowa              | IA | Missouri      | MO | Ohio              | OH | Vermont       | VT |
| Colorado        | CO | Kansas            | KS | Montana       | MT | Oklahoma          | OK | Virginia      | VA |
| Connecticut     | CT | Kentucky          | KY | Nebraska      | NE | Oregon            | OR | Washington    | WA |
| Delaware        | DE | Louisiana         | LA | Nevada        | NV | Pennsylvania      | PA | West Virginia | WV |
| Florida         | FL | Maine             | ME | New Hampshire | NH | Rhode Island      | RI | Wisconsin     | WI |
| Georgia         | GA | Maryland          | MD | New Jersey    | NJ | South Carolina    | SC | Wyoming       | WY |
| American Samoa  | AS | Dist. of Columbia | DC | Guam          | GU | Northern Marianas | CM | Puerto Rico   | PR |
| Trust Territory | TT | Virgin Islands    | VI |               |    |                   |    |               |    |

## PUBLIC BURDEN INFORMATION

Public burden reporting for this collection of information is estimated to average 90 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Reports and Forms Management Officer, U.S. Office of Personnel Management, 1900 E Street, N.W., Room CHP-500, Washington, D.C. 20415. Do not send your completed form to this address.

QUESTIONNAIRE FOR  
NATIONAL SECURITY POSITIONS

Form approved:  
O.M.B. No. 3206-0007  
NSN 7540-00-634-4036  
86-111

Part 1

Investigating Agency Use Only

Codes

Case Number

Agency Use Only (Complete Items A through P using instructions provided by the Investigating agency).

|                                |                                                    |                            |                         |                                |                         |       |      |      |
|--------------------------------|----------------------------------------------------|----------------------------|-------------------------|--------------------------------|-------------------------|-------|------|------|
| <b>A</b> Type of Investigation | <b>B</b> Extra Coverage                            | <b>C</b> Sensitivity Level | <b>D</b> Access         | <b>E</b> Nature of Action Code | <b>F</b> Date of Action | Month | Day  | Year |
| <b>G</b> Geographic Location   | <b>H</b> Position Code                             |                            | <b>I</b> Position Title |                                |                         |       |      |      |
| <b>J</b> SON                   | <b>K</b> Location of Official Personnel Folder     | None<br>NPRC<br>At SON     | Other Address           |                                | ZIP Code                |       |      |      |
| <b>L</b> SOI                   | <b>M</b> Location of Security Folder               | None<br>At SOI<br>NPI      | Other Address           |                                | ZIP Code                |       |      |      |
| <b>N</b> OPAC-ALC Number       | <b>O</b> Accounting Data and/or Agency Case Number |                            |                         |                                |                         |       |      |      |
| <b>P</b> Requesting Official   | Name and Title                                     |                            | Signature               |                                | Telephone Number        |       | Date |      |

Persons completing this form should begin with the questions below.

|                                                                                                                                                                                                                     |                        |             |               |       |     |      |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|-------------|---------------|-------|-----|------|
| <b>1</b> FULL NAME                                                                                                                                                                                                  | <b>2</b> DATE OF BIRTH |             |               |       |     |      |
| <p>• If you have only initials in your name, use them and state (IO).<br/>• If you have no middle name, enter "NMN."<br/>• If you are a "Jr.," "Sr.," "II," etc., enter this in the box after your middle name.</p> |                        |             |               |       |     |      |
| Last Name                                                                                                                                                                                                           | First Name             | Middle Name | Jr., II, etc. | Month | Day | Year |

|                                                 |                                 |       |                                       |  |
|-------------------------------------------------|---------------------------------|-------|---------------------------------------|--|
| <b>3</b> PLACE OF BIRTH                         | <b>4</b> SOCIAL SECURITY NUMBER |       |                                       |  |
| <p>• Use the two letter code for the State.</p> |                                 |       |                                       |  |
| City                                            | County                          | State | Country (if not in the United States) |  |

|                                                                                                                                                                                                                                                                                                                                                  |      |            |            |            |    |      |            |            |            |    |    |      |            |            |    |    |      |            |            |    |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|------------|------------|------------|----|------|------------|------------|------------|----|----|------|------------|------------|----|----|------|------------|------------|----|
| <b>5</b> OTHER NAMES USED                                                                                                                                                                                                                                                                                                                        |      |            |            |            |    |      |            |            |            |    |    |      |            |            |    |    |      |            |            |    |
| <p>Give other names you used and the period of time you used them (for example: your maiden name, name[s] by a former marriage, former name[s], alias[es], or nickname[s]). If the other name is your maiden name, put "nee" in front of it.</p>                                                                                                 |      |            |            |            |    |      |            |            |            |    |    |      |            |            |    |    |      |            |            |    |
| <table border="1"><tr><td>#1</td><td>Name</td><td>Month/Year</td><td>Month/Year</td><td>To</td><td>#3</td><td>Name</td><td>Month/Year</td><td>Month/Year</td><td>To</td></tr><tr><td>#2</td><td>Name</td><td>Month/Year</td><td>Month/Year</td><td>To</td><td>#4</td><td>Name</td><td>Month/Year</td><td>Month/Year</td><td>To</td></tr></table> | #1   | Name       | Month/Year | Month/Year | To | #3   | Name       | Month/Year | Month/Year | To | #2 | Name | Month/Year | Month/Year | To | #4 | Name | Month/Year | Month/Year | To |
| #1                                                                                                                                                                                                                                                                                                                                               | Name | Month/Year | Month/Year | To         | #3 | Name | Month/Year | Month/Year | To         |    |    |      |            |            |    |    |      |            |            |    |
| #2                                                                                                                                                                                                                                                                                                                                               | Name | Month/Year | Month/Year | To         | #4 | Name | Month/Year | Month/Year | To         |    |    |      |            |            |    |    |      |            |            |    |

|                                        |                          |                 |            |           |                                                               |
|----------------------------------------|--------------------------|-----------------|------------|-----------|---------------------------------------------------------------|
| <b>6</b> OTHER IDENTIFYING INFORMATION | Height (feet and inches) | Weight (pounds) | Hair Color | Eye Color | Sex (mark one box)                                            |
|                                        |                          |                 |            |           | <input type="checkbox"/> Female <input type="checkbox"/> Male |

|                            |                                        |                          |
|----------------------------|----------------------------------------|--------------------------|
| <b>7</b> TELEPHONE NUMBERS | Work (include Area Code and extension) | Home (include Area Code) |
|                            | ( ) Day ( )                            | ( ) Day ( )              |
|                            | ( ) Night ( )                          | ( ) Night ( )            |

|                                                                                                                  |                                    |
|------------------------------------------------------------------------------------------------------------------|------------------------------------|
| <b>8</b> CITIZENSHIP                                                                                             | <b>a</b> Your Mother's Maiden Name |
| <p>Mark the box at the right that reflects your current citizenship status, and follow its instructions.</p>     |                                    |
| <p>I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession. — Answer Items b and d</p> |                                    |
| <p>I am a U.S. citizen, but I was NOT born in the U.S. — Answer Items b, c, and d</p>                            |                                    |
| <p>I am not a U.S. citizen. — Answer Items b and e</p>                                                           |                                    |

**C** UNITED STATES CITIZENSHIP If you are a U.S. Citizen, but were not born in the U.S., provide information about one or more of the following proofs of your citizenship.

Naturalization Certificate (Where were you naturalized?)

|       |      |       |                    |                       |
|-------|------|-------|--------------------|-----------------------|
| Court | City | State | Certificate Number | Month/Day/Year Issued |
|-------|------|-------|--------------------|-----------------------|

Citizenship Certificate (Where was the certificate issued?)

|      |       |                    |                       |
|------|-------|--------------------|-----------------------|
| City | State | Certificate Number | Month/Day/Year Issued |
|------|-------|--------------------|-----------------------|

State Department Form 240 - Report of Birth Abroad of a Citizen of the United States

|                                                                        |                |             |
|------------------------------------------------------------------------|----------------|-------------|
| Give the date the form was prepared and give an explanation if needed. | Month/Day/Year | Explanation |
|------------------------------------------------------------------------|----------------|-------------|

U.S. Passport

|                                                         |                 |                       |
|---------------------------------------------------------|-----------------|-----------------------|
| This may be either a current or previous U.S. Passport. | Passport Number | Month/Day/Year Issued |
|---------------------------------------------------------|-----------------|-----------------------|

**d** DUAL CITIZENSHIP If you are (or were) a dual citizen of the United States and another country, provide the name of that country in the space to the right.

**e** ALIEN If you are an alien, provide the following information:

|                                      |      |       |                       |                           |                             |
|--------------------------------------|------|-------|-----------------------|---------------------------|-----------------------------|
| Place You Entered the United States: | City | State | Date You Entered U.S. | Alien Registration Number | Country(ies) of Citizenship |
|                                      |      |       | Month Day Year        |                           |                             |

**9 WHERE YOU HAVE LIVED**

List the places where you have lived, beginning with the most recent (#1) and working back 7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence: do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks number or home port. You may omit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived overseas.

For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last five years, if the address is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide directions for locating the residence on an attached continuation sheet.

|                              |            |            |                      |        |                |       |          |
|------------------------------|------------|------------|----------------------|--------|----------------|-------|----------|
| #1                           | Month/Year | Month/Year | Street Address       | Apt. # | City (Country) | State | ZIP Code |
|                              | To         | Present    |                      |        |                |       |          |
| Name of Person Who Knows You |            |            | Street Address       | Apt. # | City (Country) | State | ZIP Code |
|                              |            |            | Telephone Number ( ) |        |                |       |          |
| #2                           | Month/Year | Month/Year | Street Address       | Apt. # | City (Country) | State | ZIP Code |
|                              | To         |            |                      |        |                |       |          |
| Name of Person Who Knew You  |            |            | Street Address       | Apt. # | City (Country) | State | ZIP Code |
|                              |            |            | Telephone Number ( ) |        |                |       |          |
| #3                           | Month/Year | Month/Year | Street Address       | Apt. # | City (Country) | State | ZIP Code |
|                              | To         |            |                      |        |                |       |          |
| Name of Person Who Knew You  |            |            | Street Address       | Apt. # | City (Country) | State | ZIP Code |
|                              |            |            | Telephone Number ( ) |        |                |       |          |
| #4                           | Month/Year | Month/Year | Street Address       | Apt. # | City (Country) | State | ZIP Code |
|                              | To         |            |                      |        |                |       |          |
| Name of Person Who Knew You  |            |            | Street Address       | Apt. # | City (Country) | State | ZIP Code |
|                              |            |            | Telephone Number ( ) |        |                |       |          |
| #5                           | Month/Year | Month/Year | Street Address       | Apt. # | City (Country) | State | ZIP Code |
|                              | To         |            |                      |        |                |       |          |
| Name of Person Who Knew You  |            |            | Street Address       | Apt. # | City (Country) | State | ZIP Code |
|                              |            |            | Telephone Number ( ) |        |                |       |          |

**10 WHERE YOU WENT TO SCHOOL**

List the schools you have attended, beyond Junior High School, beginning with the most recent (#1) and working back 7 years. List College or University degrees and the dates they were received. If all of your education occurred more than 7 years ago, list your most recent education beyond high school, no matter when that education occurred.

- Use one of the following codes in the "Code" block:

1 - High School

2 - College/University/Military College

3 - Vocational/Technical/Trade School

- For schools you attended in the past 3 years, list a person who knew you at school (an instructor, student, etc.). Do not list people for education completely outside this 3-year period.
- For correspondence schools and extension classes, provide the address where the records are maintained.

|                                             |            |            |      |                |                      |                      |
|---------------------------------------------|------------|------------|------|----------------|----------------------|----------------------|
| #1                                          | Month/Year | Month/Year | Code | Name of School | Degree/Diploma/Other | Month/Year Awarded   |
|                                             | To         |            |      |                |                      |                      |
| Street Address and City (Country) of School |            |            |      |                |                      | State ZIP Code       |
| Name of Person Who Knew You                 |            |            |      | Street Address | Apt. #               | City (Country)       |
|                                             |            |            |      | State          | ZIP Code             | Telephone Number ( ) |
| #2                                          | Month/Year | Month/Year | Code | Name of School | Degree/Diploma/Other | Month/Year Awarded   |
|                                             | To         |            |      |                |                      |                      |
| Street Address and City (Country) of School |            |            |      |                |                      | State ZIP Code       |
| Name of Person Who Knew You                 |            |            |      | Street Address | Apt. #               | City (Country)       |
|                                             |            |            |      | State          | ZIP Code             | Telephone Number ( ) |
| #3                                          | Month/Year | Month/Year | Code | Name of School | Degree/Diploma/Other | Month/Year Awarded   |
|                                             | To         |            |      |                |                      |                      |
| Street Address and City (Country) of School |            |            |      |                |                      | State ZIP Code       |
| Name of Person Who Knew You                 |            |            |      | Street Address | Apt. #               | City (Country)       |
|                                             |            |            |      | State          | ZIP Code             | Telephone Number ( ) |

Enter your Social Security Number before going to the next page



# 11 YOUR EMPLOYMENT ACTIVITIES

List your employment activities, beginning with the present (#1) and working back 7 years. You should list all full-time work, part-time work, military service, temporary military duty locations over 90 days, self-employment, other paid work, and all periods of unemployment. The entire 7-year period must be accounted for without breaks, but you need not list employments before your 16th birthday. **EXCEPTION:** Show all Federal civilian service, whether it occurred within the last 7 years or not.

• **Code.** Use one of the codes listed below to identify the type of employment:

- |                                   |                                                                                  |                                                              |           |
|-----------------------------------|----------------------------------------------------------------------------------|--------------------------------------------------------------|-----------|
| 1 - Active military duty stations | 5 - State Government (Non-Federal employment)                                    | 7 - Unemployment (Include name of person who can verify)     | 9 - Other |
| 2 - National Guard/Reserve        |                                                                                  |                                                              |           |
| 3 - U.S.P.H.S. Commissioned Corps | 6 - Self-employment (Include business name and/or name of person who can verify) | 8 - Federal Contractor (List Contractor, not Federal agency) |           |
| 4 - Other Federal employment      |                                                                                  |                                                              |           |

• **Employer/Verifier Name.** List the business name of your employer or the name of the person who can verify your self-employment or unemployment in this block. If military service is being listed, include your duty location or home port here as well as your branch of service. You should provide separate listings to reflect changes in your military duty locations or home ports.

• **Previous Periods of Activity.** Complete these lines if you worked for an employer on more than one occasion at the same location. After entering the most recent period of employment in the initial numbered block, provide previous periods of employment at the same location on the additional lines provided. For example, if you worked at XY Plumbing in Denver, CO, during 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment on the lines below that information.

| Month/Year                                                            | Month/Year | Code           | Employer/Verifier Name/Military Duty Location | Your Position Title/Military Rank      |
|-----------------------------------------------------------------------|------------|----------------|-----------------------------------------------|----------------------------------------|
| #1 To Present                                                         |            |                |                                               |                                        |
| Employer's/Verifier's Street Address                                  |            |                | City (Country)                                | State ZIP Code Telephone Number<br>( ) |
| Street Address of Job Location (if different than Employer's Address) |            |                | City (Country)                                | State ZIP Code Telephone Number<br>( ) |
| Supervisor's Name & Street Address (if different than Job Location)   |            |                | City (Country)                                | State ZIP Code Telephone Number<br>( ) |
| PREVIOUS PERIODS OF ACTIVITY (Block #1)                               | Month/Year | Month/Year     | Position Title                                | Supervisor                             |
|                                                                       | To         |                |                                               |                                        |
|                                                                       | Month/Year | Month/Year     | Position Title                                | Supervisor                             |
|                                                                       | To         |                |                                               |                                        |
| Month/Year                                                            | Month/Year | Position Title | Supervisor                                    |                                        |
| To                                                                    |            |                |                                               |                                        |
| #2 To                                                                 |            |                |                                               |                                        |
| Employer's/Verifier's Street Address                                  |            |                | City (Country)                                | State ZIP Code Telephone Number<br>( ) |
| Street Address of Job Location (if different than Employer's Address) |            |                | City (Country)                                | State ZIP Code Telephone Number<br>( ) |
| Supervisor's Name & Street Address (if different than Job Location)   |            |                | City (Country)                                | State ZIP Code Telephone Number<br>( ) |
| PREVIOUS PERIODS OF ACTIVITY (Block #2)                               | Month/Year | Month/Year     | Position Title                                | Supervisor                             |
|                                                                       | To         |                |                                               |                                        |
|                                                                       | Month/Year | Month/Year     | Position Title                                | Supervisor                             |
|                                                                       | To         |                |                                               |                                        |
| Month/Year                                                            | Month/Year | Position Title | Supervisor                                    |                                        |
| To                                                                    |            |                |                                               |                                        |
| #3 To                                                                 |            |                |                                               |                                        |
| Employer's/Verifier's Street Address                                  |            |                | City (Country)                                | State ZIP Code Telephone Number<br>( ) |
| Street Address of Job Location (if different than Employer's Address) |            |                | City (Country)                                | State ZIP Code Telephone Number<br>( ) |
| Supervisor's Name & Street Address (if different than Job Location)   |            |                | City (Country)                                | State ZIP Code Telephone Number<br>( ) |
| PREVIOUS PERIODS OF ACTIVITY (Block #3)                               | Month/Year | Month/Year     | Position Title                                | Supervisor                             |
|                                                                       | To         |                |                                               |                                        |
|                                                                       | Month/Year | Month/Year     | Position Title                                | Supervisor                             |
|                                                                       | To         |                |                                               |                                        |
| Month/Year                                                            | Month/Year | Position Title | Supervisor                                    |                                        |
| To                                                                    |            |                |                                               |                                        |

Enter your Social Security Number before going to the next page →

# YOUR EMPLOYMENT ACTIVITIES (CONTINUED)

|                                                                       |            |    |            |      |                                               |                                   |          |                         |  |
|-----------------------------------------------------------------------|------------|----|------------|------|-----------------------------------------------|-----------------------------------|----------|-------------------------|--|
| #4                                                                    | Month/Year | To | Month/Year | Code | Employer/Verifier Name/Military Duty Location | Your Position Title/Military Rank |          |                         |  |
| Employer's/Verifier's Street Address                                  |            |    |            |      | City (Country)                                | State                             | ZIP Code | Telephone Number<br>( ) |  |
| Street Address of Job Location (if different than Employer's Address) |            |    |            |      | City (Country)                                | State                             | ZIP Code | Telephone Number<br>( ) |  |
| Supervisor's Name & Street Address (if different than Job Location)   |            |    |            |      | City (Country)                                | State                             | ZIP Code | Telephone Number<br>( ) |  |

|                                            |            |    |            |                |            |
|--------------------------------------------|------------|----|------------|----------------|------------|
| PREVIOUS PERIODS<br>OF ACTIVITY (Block #4) | Month/Year | To | Month/Year | Position Title | Supervisor |
|                                            | Month/Year | To | Month/Year | Position Title | Supervisor |
|                                            | Month/Year | To | Month/Year | Position Title | Supervisor |
|                                            | Month/Year | To | Month/Year | Position Title | Supervisor |

|                                                                       |            |    |            |      |                                               |                                   |          |                         |  |
|-----------------------------------------------------------------------|------------|----|------------|------|-----------------------------------------------|-----------------------------------|----------|-------------------------|--|
| #5                                                                    | Month/Year | To | Month/Year | Code | Employer/Verifier Name/Military Duty Location | Your Position Title/Military Rank |          |                         |  |
| Employer's/Verifier's Street Address                                  |            |    |            |      | City (Country)                                | State                             | ZIP Code | Telephone Number<br>( ) |  |
| Street Address of Job Location (if different than Employer's Address) |            |    |            |      | City (Country)                                | State                             | ZIP Code | Telephone Number<br>( ) |  |
| Supervisor's Name & Street Address (if different than Job Location)   |            |    |            |      | City (Country)                                | State                             | ZIP Code | Telephone Number<br>( ) |  |

|                                            |            |    |            |                |            |
|--------------------------------------------|------------|----|------------|----------------|------------|
| PREVIOUS PERIODS<br>OF ACTIVITY (Block #5) | Month/Year | To | Month/Year | Position Title | Supervisor |
|                                            | Month/Year | To | Month/Year | Position Title | Supervisor |
|                                            | Month/Year | To | Month/Year | Position Title | Supervisor |
|                                            | Month/Year | To | Month/Year | Position Title | Supervisor |

|                                                                       |            |    |            |      |                                               |                                   |          |                         |  |
|-----------------------------------------------------------------------|------------|----|------------|------|-----------------------------------------------|-----------------------------------|----------|-------------------------|--|
| #6                                                                    | Month/Year | To | Month/Year | Code | Employer/Verifier Name/Military Duty Location | Your Position Title/Military Rank |          |                         |  |
| Employer's/Verifier's Street Address                                  |            |    |            |      | City (Country)                                | State                             | ZIP Code | Telephone Number<br>( ) |  |
| Street Address of Job Location (if different than Employer's Address) |            |    |            |      | City (Country)                                | State                             | ZIP Code | Telephone Number<br>( ) |  |
| Supervisor's Name & Street Address (if different than Job Location)   |            |    |            |      | City (Country)                                | State                             | ZIP Code | Telephone Number<br>( ) |  |

|                                            |            |    |            |                |            |
|--------------------------------------------|------------|----|------------|----------------|------------|
| PREVIOUS PERIODS<br>OF ACTIVITY (Block #6) | Month/Year | To | Month/Year | Position Title | Supervisor |
|                                            | Month/Year | To | Month/Year | Position Title | Supervisor |
|                                            | Month/Year | To | Month/Year | Position Title | Supervisor |
|                                            | Month/Year | To | Month/Year | Position Title | Supervisor |

## 12 PEOPLE WHO KNOW YOU WELL

List **three people** who know you well and live in the United States. They should be good friends, peers, colleagues, college roommates, etc., whose combined association with you covers as well as possible the last 7 years. Do not list your spouse, former spouses, or other relatives, and try not to list anyone who is listed elsewhere on this form.

|                      |      |            |    |            |                |            |                                                  |
|----------------------|------|------------|----|------------|----------------|------------|--------------------------------------------------|
| #1                   | Name | Month/Year | To | Month/Year | Dates Known    | Month/Year | Telephone Number<br>( ) Day ( )<br>( ) Night ( ) |
| Home or Work Address |      |            |    |            | City (Country) | State      | ZIP Code                                         |
| #2                   | Name | Month/Year | To | Month/Year | Dates Known    | Month/Year | Telephone Number<br>( ) Day ( )<br>( ) Night ( ) |
| Home or Work Address |      |            |    |            | City (Country) | State      | ZIP Code                                         |
| #3                   | Name | Month/Year | To | Month/Year | Dates Known    | Month/Year | Telephone Number<br>( ) Day ( )<br>( ) Night ( ) |
| Home or Work Address |      |            |    |            | City (Country) | State      | ZIP Code                                         |

Enter your Social Security Number before going to the next page

## 13

Mark one box to show your current marital status and provide information about your spouse(s) in items a, and/or b.

5 - Divorced  
6 - Widowed

**a**

|                                                                                                                          |                                                                          |                                                             |                             |
|--------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|-------------------------------------------------------------|-----------------------------|
| Full Name                                                                                                                | Date of Birth                                                            | Place of Birth <i>(Include country if outside the U.S.)</i> | Social Security Number      |
| Other Names Used <i>(Specify maiden name, names by other marriages, etc., and show dates used for each name)</i>         |                                                                          |                                                             | Country(ies) of Citizenship |
| Date Married                                                                                                             | Place Married <i>(Include country if outside the U.S.)</i>               |                                                             | State                       |
| If Separated, Date of Separation                                                                                         | If Legally Separated, Where is the Record Located? City <i>(Country)</i> |                                                             | State                       |
| Address of Current Spouse, If different than your current address <i>(Street, city, and country if outside the U.S.)</i> |                                                                          |                                                             | State      ZIP Code         |

(b)

|                                                                                                 |                |                                                          |                                      |
|-------------------------------------------------------------------------------------------------|----------------|----------------------------------------------------------|--------------------------------------|
| Full Name                                                                                       | Date of Birth  | Place of Birth (Include country if outside the U.S.)     | State                                |
| Country(ies) of Citizenship                                                                     | Date Married   | Place Married (Include country if outside the U.S.)      | State                                |
| Check One, Then Give Date<br><input type="checkbox"/> Divorced <input type="checkbox"/> Widowed | Month/Day/Year | If Divorced, Where is the Record Located? City (Country) | State                                |
| Address of Former Spouse (Street, city, and country if outside the U.S.)                        |                | State                                                    | ZIP Code<br>Telephone Number (     ) |

## 14

Give the full name, correct code, and other requested information for each of your relatives and associates, living or dead, specified below.

- |                              |                                   |                   |                    |                                      |
|------------------------------|-----------------------------------|-------------------|--------------------|--------------------------------------|
| 1 - Mother ( <i>first</i> )  | 5 - Foster parent                 | 9 - Sister        | 13 - Half-sister   | 17 - Other Relative*                 |
| 2 - Father ( <i>second</i> ) | 6 - Child ( <i>adopted also</i> ) | 10 - Stepbrother  | 14 - Father-in-law | 18 - Associate*                      |
| 3 - Stepmother               | 7 - Stepchild                     | 11 - Stepsister   | 15 - Mother-in-law | 19 - Adult Currently Living With You |
| 4 - Stepfather               | 8 - Brother                       | 12 - Half-brother | 16 - Guardian      |                                      |

\* Code 17 (Other Relative)-include only foreign national relatives not listed in 1-16 with whom you or your spouse are bound by affection, obligation, or close and continuing contact. Code 18 (Associates) - include only foreign national associates with whom you or your spouse are bound by affection, obligation, or close and continuing contact.

[illegible]

**15 CITIZENSHIP OF YOUR RELATIVES AND ASSOCIATES**

If your mother, father, sister, brother, child, or current spouse or person with whom you have a spouse-like relationship is a U.S. citizen by other than birth, or an alien residing in the U.S., provide the nature of the individual's relationship to you (Spouse, Spouse-like, Mother, etc.), and the individual's name and date of birth on the first line (this information is needed to pair it accurately with information in items 13 and 14).

On the second line, provide the individual's naturalization certificate or alien registration number and use one of the document codes below to identify proof of citizenship status. Provide additional information on that line as requested.

1. **Naturalization Certificate:** Provide the date issued and the location where the person was naturalized (Court, City and State).
2. **Citizenship Certificate:** Provide the date and location issued (City and State).

3. **Alien Registration:** Provide the date and place where the person entered the U.S. (City and State).
4. **Other:** Provide an explanation in the "Additional Information" block.

|                            |               |                                |
|----------------------------|---------------|--------------------------------|
| Association #1             | Name          | Date of Birth (Month/Day/Year) |
| Certificate/Registration # | Document Code | Additional Information         |
| Association #2             | Name          | Date of Birth (Month/Day/Year) |
| Certificate/Registration # | Document Code | Additional Information         |

**16 YOUR MILITARY HISTORY**

**a** Have you served in the United States military?

**b** Have you served in the United States Merchant Marine?

| Yes | No |
|-----|----|
|     |    |
|     |    |

List all of your military service below, including service in Reserve, National Guard, and U.S. Merchant Marine. Start with the most recent period of service (#1) and work backward. If you had a break in service, each separate period should be listed.

- **Code.** Use one of the codes listed below to identify your branch of service:

1 - Air Force    2 - Army    3 - Navy    4 - Marine Corps    5 - Coast Guard    6 - Merchant Marine    7 - National Guard

- **O/E.** Mark "O" block for Officer or "E" block for Enlisted.

- **Status.** "X" the appropriate block for the status of your service during the time that you served. If your service was in the National Guard, do not use an "X": use the two-letter code for the state to mark the block.

- **Country.** If your service was with other than the U.S. Armed Forces, identify the country for which you served.

| Month/Year | Month/Year | Code | Service/Certificate # | O | E | Active | Active Reserve | Inactive Reserve | National Guard (State) | Country |
|------------|------------|------|-----------------------|---|---|--------|----------------|------------------|------------------------|---------|
| To         |            |      |                       |   |   |        |                |                  |                        |         |
| To         |            |      |                       |   |   |        |                |                  |                        |         |

**17 YOUR FOREIGN ACTIVITIES**

**a** Do you have any foreign property, business connections, or financial interests?

**b** Are you now or have you ever been employed by or acted as a consultant for a foreign government, firm, or agency?

**c** Have you ever had any contact with a foreign government, its establishments (embassies or consulates), or its representatives, whether inside or outside the U.S., other than on official U.S. Government business? (Does not include routine visa applications and border crossing contacts.)

**d** In the last 7 years, have you had an active passport that was issued by a foreign government?

| Yes | No |
|-----|----|
|     |    |
|     |    |
|     |    |

If you answered "Yes" to a, b, c, or d above, explain in the space below: provide inclusive dates, names of firms and/or governments involved, and an explanation of your involvement.

| Month/Year | Month/Year | Firm and/or Government | Explanation |
|------------|------------|------------------------|-------------|
| To         |            |                        |             |
| To         |            |                        |             |

**18 FOREIGN COUNTRIES YOU HAVE VISITED**

List foreign countries you have visited, except on travel under official Government orders, beginning with the most current (#1) and working back 7 years. (Travel as a dependent or contractor must be listed.)

- Use one of these codes to indicate the purpose of your visit:

1 - Business    2 - Pleasure    3 - Education    4 - Other

- Include short trips to Canada or Mexico. If you have lived near a border and have made short (one day or less) trips to the neighboring country, you do not need to list each trip. Instead, provide the time period, the code, the country, and a note ("Many Short Trips").

- Do not repeat travel covered in items 9, 10, or 11.

| Month/Year | Month/Year | Code | Country | Month/Year | Month/Year | Code | Country |
|------------|------------|------|---------|------------|------------|------|---------|
| #1         | To         |      |         | #3         | To         |      |         |
| #2         | To         |      |         | #4         | To         |      |         |

This concludes Part 1 of this form. If you have used Page 9, continuation sheets, or blank sheets to complete any of the questions in Part 1, give the number for those questions in the space to the right:

Enter your Social Security Number before going to the next page

# QUESTIONNAIRE FOR NATIONAL SECURITY POSITIONS

## Part 2

OFFICIAL  
USE  
ONLY

### 19 YOUR MILITARY RECORD

Have you ever received other than an honorable discharge from the military? If "Yes," provide the date of discharge and type of discharge below.

Month/Year      Type of Discharge

| Yes | No |
|-----|----|
|     |    |

### 20 YOUR SELECTIVE SERVICE RECORD

a Are you a male born after December 31, 1959? If "No," go to 21. If "Yes," go to b.

b Have you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the reason for your legal exemption below.

Registration Number

Legal Exemption Explanation

| Yes | No |
|-----|----|
|     |    |
|     |    |

### 21 YOUR MEDICAL RECORD

In the last 7 years, have you consulted with a mental health professional (psychiatrist, psychologist, counselor, etc.) or have you consulted with another health care provider about a mental health related condition?

If you answered "Yes", provide the dates of treatment and the name and address of the therapist or doctor below, unless the consultation(s) involved only marital, family, or grief counseling, not related to violence by you.

Month/Year      Month/Year      Name/Address of Therapist or Doctor

State      ZIP Code

To

To

| Yes | No |
|-----|----|
|     |    |

### 22 YOUR EMPLOYMENT RECORD

Has any of the following happened to you in the last 7 years? If "Yes," begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.

Use the following codes and explain the reason your employment was ended:

1 - Fired from a job

3 - Left a job by mutual agreement following allegations of misconduct

5 - Left a job for other reasons

2 - Quit a job after being told

4 - Left a job by mutual agreement following allegations of

under unfavorable circumstances

you'd be fired

unsatisfactory performance

Month/Year      Code      Specify Reason

Employer's Name and Address (Include city/Country if outside U.S.)

State      ZIP Code

| Yes | No |
|-----|----|
|     |    |

### 23 YOUR POLICE RECORD

For this item, report information regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record. The single exception to this requirement is for certain convictions under the Federal Controlled Substances Act for which the court issued an expungement order under the authority of 21 U.S.C. 844 or 18 U.S.C. 3607.

a Have you ever been charged with or convicted of any felony offense? (Include those under Uniform Code of Military Justice)

b Have you ever been charged with or convicted of a firearms or explosives offense?

c Are there currently any charges pending against you for any criminal offense?

d Have you ever been charged with or convicted of any offense(s) related to alcohol or drugs?

e In the last 7 years, have you been subject to court martial or other disciplinary proceedings under the Uniform Code of Military Justice? (Include non-judicial, Captain's mast, etc.)

f In the last 7 years, have you been arrested for, charged with, or convicted of any offense(s) not listed in response to a, b, c, d, or e above? (Leave out traffic fines of less than \$150 unless the violation was alcohol or drug related.)

If you answered "Yes" to a, b, c, d, e, or f above, explain below. Under "Offense," do not list specific penalty codes, list the actual offense or violation (for example, arson, theft, etc.).

Month/Year      Offense      Action Taken      Law Enforcement Authority/Court (Include City and county/country if outside U.S.)

State      ZIP Code

Enter your Social Security Number before going to the next page



| <b>24 YOUR USE OF ILLEGAL DRUGS AND DRUG ACTIVITY</b>                                                                                                                                                                                                                                                                                                                                                                | Yes | No |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| <p>The following questions pertain to the illegal use of drugs or drug activity. You are required to answer the questions fully and truthfully, and your failure to do so could be grounds for an adverse employment decision or action against you, but neither your truthful responses nor information derived from your responses will be used as evidence against you in any subsequent criminal proceeding.</p> |     |    |
| <p><b>a</b> Since the age of 16 or in the last 7 years, whichever is shorter, have you <u>illegally</u> used any controlled substance, for example, marijuana, cocaine, crack cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), amphetamines, depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc.), or prescription drugs?</p>                        |     |    |
| <p><b>b</b> Have you <u>ever</u> illegally used a controlled substance while employed as a law enforcement officer, prosecutor, or courtroom official; while possessing a security clearance; or while in a position directly and immediately affecting the public safety?</p>                                                                                                                                       |     |    |
| <p><b>c</b> In the last 7 years, have you been involved in the illegal purchase, manufacture, trafficking, production, transfer, shipping, receiving, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis for your own intended profit or that of another?</p>                                                                                                                                 |     |    |

If you answered "Yes" to a or b above, provide the date(s), identify the controlled substance(s) and/or prescription drugs used, and the number of times each was used.

| Month/Year | Month/Year | Controlled Substance/Prescription Drug Used | Number of Times Used |
|------------|------------|---------------------------------------------|----------------------|
| To         |            |                                             |                      |
| To         |            |                                             |                      |

| <b>25 YOUR USE OF ALCOHOL</b>                                                                                                                                                                   | Yes | No |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| <p>In the last 7 years, has your use of alcoholic beverages (such as liquor, beer, wine) resulted in any alcohol-related treatment or counseling (such as for alcohol abuse or alcoholism)?</p> |     |    |

If you answered "Yes", provide the dates of treatment and the name and address of the counselor or doctor below. Do not repeat information reported in response to item 21 above.

| Month/Year | Month/Year | Name/Address of Counselor or Doctor | State | ZIP Code |
|------------|------------|-------------------------------------|-------|----------|
| To         |            |                                     |       |          |
| To         |            |                                     |       |          |

| <b>26 YOUR INVESTIGATIONS RECORD</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Yes | No |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| <p><b>a</b> Has the United States Government ever investigated your background and/or granted you a security clearance? If "Yes," use the codes that follow to provide the requested information below. If "Yes," but you can't recall the investigating agency and/or the security clearance received, enter "Other" agency code or clearance code, as appropriate, and "Don't know" or "Don't recall" under the "Other Agency" heading, below. If your response is "No," or you don't know or can't recall if you were investigated and cleared, check the "No" box.</p> |     |    |

|                                                                                                                               |                                                           |                                                                                                                                                                                                |
|-------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Codes for Investigating Agency</b><br>1 - Defense Department<br>2 - State Department<br>3 - Office of Personnel Management | 4 - FBI<br>5 - Treasury Department<br>6 - Other (Specify) | <b>Codes for Security Clearance Received</b><br>0 - Not Required<br>1 - Confidential<br>2 - Secret<br>3 - Top Secret<br>4 - Sensitive Compartmented Information<br>5 - Q<br>6 - L<br>7 - Other |
|-------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

| Month/Year | Agency Code | Other Agency | Clearance Code | Month/Year | Agency Code | Other Agency | Clearance Code |
|------------|-------------|--------------|----------------|------------|-------------|--------------|----------------|
|            |             |              |                |            |             |              |                |
|            |             |              |                |            |             |              |                |

| <b>b</b> To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? If "Yes," give date of action and agency. Note: An administrative downgrade or termination of a security clearance is not a revocation. | Yes | No |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
|                                                                                                                                                                                                                                                                                                                     |     |    |

| Month/Year | Department or Agency Taking Action | Month/Year | Department or Agency Taking Action |
|------------|------------------------------------|------------|------------------------------------|
|            |                                    |            |                                    |
|            |                                    |            |                                    |

| <b>27 YOUR FINANCIAL RECORD</b>                                                                                                  | Yes | No |
|----------------------------------------------------------------------------------------------------------------------------------|-----|----|
| <p><b>a</b> In the last 7 years, have you filed a petition under any chapter of the bankruptcy code (to include Chapter 13)?</p> |     |    |
| <p><b>b</b> In the last 7 years, have you had your wages garnished or had any property repossessed for any reason?</p>           |     |    |
| <p><b>c</b> In the last 7 years, have you had a lien placed against your property for failing to pay taxes or other debts?</p>   |     |    |
| <p><b>d</b> In the last 7 years, have you had any judgments against you that have not been paid?</p>                             |     |    |

If you answered "Yes" to a, b, c, or d, provide the information requested below:

| Month/Year | Type of Action | Amount | Name Action Occurred Under | Name/Address of Court or Agency Handling Case | State | ZIP Code |
|------------|----------------|--------|----------------------------|-----------------------------------------------|-------|----------|
|            |                |        |                            |                                               |       |          |
|            |                |        |                            |                                               |       |          |

Enter your Social Security Number before going to the next page



|                                                                                      |                          |                          |
|--------------------------------------------------------------------------------------|--------------------------|--------------------------|
| <b>28 YOUR FINANCIAL DELINQUENCIES</b>                                               | <b>Yes</b>               | <b>No</b>                |
| <b>a</b> In the last 7 years, have you been over 180 days delinquent on any debt(s)? | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>b</b> Are you currently over 90 days delinquent on any debt(s)?                   | <input type="checkbox"/> | <input type="checkbox"/> |

If you answered "Yes" to a or b, provide the information requested below:

| Incurred Month/Year | Satisfied Month/Year | Amount | Type of Loan or Obligation and Account Number | Name/Address of Creditor or Obligor | State | ZIP Code |
|---------------------|----------------------|--------|-----------------------------------------------|-------------------------------------|-------|----------|
|                     |                      |        |                                               |                                     |       |          |

|                                                                                                                        |                          |                          |
|------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| <b>29 PUBLIC RECORD CIVIL COURT ACTIONS</b>                                                                            | <b>Yes</b>               | <b>No</b>                |
| In the last 7 years, have you been a party to any public record civil court actions not listed elsewhere on this form? | <input type="checkbox"/> | <input type="checkbox"/> |

If you answered "Yes," provide the information about the public record civil court action requested below.

| Month/Year | Nature of Action | Result of Action | Name of Parties Involved | Court (Include City and county/country if outside U.S.) | State | ZIP Code |
|------------|------------------|------------------|--------------------------|---------------------------------------------------------|-------|----------|
|            |                  |                  |                          |                                                         |       |          |

|                                                                                                                                                                                                                                                                                                                                    |                          |                          |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| <b>30 YOUR ASSOCIATION RECORD</b>                                                                                                                                                                                                                                                                                                  | <b>Yes</b>               | <b>No</b>                |
| <b>a</b> Have you ever been an officer or a member or made a contribution to an organization dedicated to the violent overthrow of the United States Government and which engages in illegal activities to that end, knowing that the organization engages in such activities with the specific intent to further such activities? | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>b</b> Have you ever knowingly engaged in any acts or activities designed to overthrow the United States Government by force?                                                                                                                                                                                                    | <input type="checkbox"/> | <input type="checkbox"/> |

If you answered "Yes" to a or b, explain in the space below.

### Continuation Space

Use the continuation sheet(s) (SF 86A) for additional answers to items 9, 10, and 11. Use the space below to continue answers to all other items and any information you would like to add. If more space is needed than is provided below, use a blank sheet(s) of paper. Start each sheet with your name and Social Security Number. Before each answer, identify the number of the item.

After completing Parts 1 and 2 of this form and any attachments, you should review your answers to all questions to make sure the form is complete and accurate, and then sign and date the following certification and sign and date the release on page 10.

### Certification That My Answers Are True

My statements on this form, and any attachments to it, are true, complete, and correct to the best of my knowledge and belief and are made in good faith. I understand that a knowing and willful false statement on this form can be punished by fine or imprisonment or both. (See section 1001 of title 18, United States Code).

|                         |      |
|-------------------------|------|
| Signature (Sign in ink) | Date |
|-------------------------|------|

Enter your Social Security Number before going to the next page →

# UNITED STATES OF AMERICA

## AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

**I Authorize** any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain any information relating to my activities from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

**I Understand** that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be asked.

**I Further Authorize** any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for access to classified information and/or for assignment to, or retention in, a sensitive National Security position, in accordance with 5 U.S.C. 9101. I understand that I may request a copy of such records as may be available to me under the law.

**I Authorize** custodians of records and other sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

**I Understand** that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my affiliation with the Federal Government, whichever is sooner. Read, sign and date the release on the next page if you answered "Yes" to question 21.

|                                |  |                                   |                        |                                                          |
|--------------------------------|--|-----------------------------------|------------------------|----------------------------------------------------------|
| Signature (Sign in ink)        |  | Full Name (Type or Print Legibly) |                        | Date Signed                                              |
| Other Names Used               |  |                                   | Social Security Number |                                                          |
| Current Address (Street, City) |  | State                             | ZIP Code               | Home Telephone Number<br>(Include Area Code)<br>(      ) |

## UNITED STATES OF AMERICA

### AUTHORIZATION FOR RELEASE OF MEDICAL INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

#### Instructions for Completing this Release

This is a release for the investigator to ask your health practitioner(s) the three questions below concerning your mental health consultations. Your signature will allow the practitioner(s) to answer only these questions.

I am seeking assignment to or retention in a position with the Federal government which requires access to classified national security information or special nuclear information or material. As part of the clearance process, **I hereby authorize** the investigator, special agent, or duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain the following information relating to my mental health consultations:

Does the person under investigation have a condition or treatment that could impair his/her judgement or reliability, particularly in the context of safeguarding classified national security information or special nuclear information or material?

If so, please describe the nature of the condition and the extent and duration of the impairment or treatment.

What is the prognosis?

I understand the information released pursuant to this release is for use by the Federal Government only for purposes provided in the Standard Form 86 and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for 1 year from the date signed or upon termination of my affiliation with the Federal Government, whichever is sooner.

|                                       |                                          |                                                                 |
|---------------------------------------|------------------------------------------|-----------------------------------------------------------------|
| Signature <i>(Sign in ink)</i>        | Full Name <i>(Type or Print Legibly)</i> | Date Signed                                                     |
| Other Names Used                      |                                          | Social Security Number                                          |
| Current Address <i>(Street, City)</i> | State                                    | ZIP Code                                                        |
|                                       |                                          | Home Telephone Number<br><i>(Include Area Code)</i><br>(      ) |

THE WHITE HOUSE  
WASHINGTON

PRIOR TO COMPLETING THIS FORM, PLEASE BE SURE THAT YOU HAVE  
REVIEWED THE TERMS OF THIS AGREEMENT LISTED ON THE REVERSE SIDE.

I am voluntarily authorizing the Internal Revenue Service to  
compile my tax history based upon the following information:

MY NAME \_\_\_\_\_ MY SS# - - - - -

PHONE NUMBER(S) HOME: - - - - -

WORK: - - - - -

I. IF MARRIED AND FILED A JOINT RETURN:

HUSBAND/WIFE NAME: \_\_\_\_\_

HUSBAND/WIFE SS#: \_\_\_\_\_

II. CURRENT ADDRESS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

III. NAMES AND ADDRESS SHOWN ON RETURNS FOR THE LAST THREE  
YEARS (IF DIFFERENT FROM ABOVE).

| YEAR  | NAME  | ADDRESSES |
|-------|-------|-----------|
| _____ | _____ | _____     |
| _____ | _____ | _____     |
| _____ | _____ | _____     |
| _____ | _____ | _____     |

DATE: \_\_\_\_\_  
(WAIVER INVALID UNLESS RECEIVED BY  
IRS WITHIN 60 DAYS OF THIS DATE)

\_\_\_\_\_  
(SIGNATURE OF TAXPAYER AUTHORIZING THE  
DISCLOSURE OF RETURN INFORMATION)

## INTERNAL REVENUE SERVICE TAX CHECK WAIVER

I am signing this waiver to permit the Internal Revenue Service to release information about me which would otherwise be confidential. This information will be used in connection with my appointment or employment by the United States Government. This waiver is made pursuant to 26 U.S.C. 6103(c).

I request that the Internal Revenue Service release the following information to:

Charles C. Easley, EOP Security Officer, Executive Office of the President.

The information I wish released is:

1. Have I failed to file a Federal income tax return for any of the last three years for which filing of a return might have been required? (If the filing date without regard to extensions and normal processing period for the most recent year's return has not yet elapsed on the date IRS receives this waiver, and the IRS records do not indicate a return for the most recent year, the "last three years" will mean the three years preceding the year for which returns are currently being filed and processed).
2. Were any of the returns in # 1 filed more than 45 days after the due date for filing (determined with regard to any extension(s) of time for filing)?
3. Have I failed to pay any tax, penalty or interest liability during the current or last three calendar years within 45 days of the date of which the IRS gave notice of the amount due and requested payment?
4. Am I now or have I ever been under investigation by the IRS for possible criminal offenses?
5. Has any civil penalty for fraud been assessed against me during the current or last three calendar years?

If the information which is to be released includes a "YES" answer to any of the above five questions, I authorize the Internal Revenue Service to release any information relative to that question.

THE WHITE HOUSE  
WASHINGTON

PRIVACY ACT PROTECTED INFORMATION  
(When Completed)

Disclosure and Authorization  
Pertaining to Consumer Reports  
Pursuant to the Fair Credit Reporting Act

This is a release for the Federal Bureau of Investigation and/or the Office of Counsel to the President, acting on the President's behalf, to obtain one or more consumer/credit reports about you in connection with consideration of your appointment to a position within the Executive Branch, or in the course of your employment with the Federal Government. One or more reports about you may be obtained for employment purposes, including evaluating your fitness for employment, promotion, reassignment, retention, or access to classified information.

I, \_\_\_\_\_, hereby authorize the Federal Bureau of Investigation and/or the Office of Counsel to the President, acting on the President's behalf, to obtain such reports from any consumer/credit reporting agency for employment purposes.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Social Security Number

Oct. 97

# Withdrawal/Redaction Marker

## Clinton Library

| DOCUMENT NO.<br>AND TYPE | SUBJECT/TITLE                                                        | DATE       | RESTRICTION |
|--------------------------|----------------------------------------------------------------------|------------|-------------|
| 002. form                | re: Request for leave [Personally Identifiable Information] (1 page) | 07/26/2000 | b(6)        |

### COLLECTION:

Clinton Presidential Records  
National AIDS Policy Office  
Sandra Thurman  
OA/Box Number: 40014

### FOLDER TITLE:

Admin - Staff - Thurman, Sandra

2018-0764-F

jm1996

### RESTRICTION CODES

#### Presidential Records Act - [44 U.S.C. 2204(a)]

- P1 National Security Classified Information [(a)(1) of the PRA]
- P2 Relating to the appointment to Federal office [(a)(2) of the PRA]
- P3 Release would violate a Federal statute [(a)(3) of the PRA]
- P4 Release would disclose trade secrets or confidential commercial or financial information [(a)(4) of the PRA]
- P5 Release would disclose confidential advice between the President and his advisors, or between such advisors [(a)(5) of the PRA]
- P6 Release would constitute a clearly unwarranted invasion of personal privacy [(a)(6) of the PRA]

C. Closed in accordance with restrictions contained in donor's deed of gift.

PRM. Personal record misfile defined in accordance with 44 U.S.C. 2201(3).

RR. Document will be reviewed upon request.

#### Freedom of Information Act - [5 U.S.C. 552(b)]

- b(1) National security classified information [(b)(1) of the FOIA]
- b(2) Release would disclose internal personnel rules and practices of an agency [(b)(2) of the FOIA]
- b(3) Release would violate a Federal statute [(b)(3) of the FOIA]
- b(4) Release would disclose trade secrets or confidential or financial information [(b)(4) of the FOIA]
- b(6) Release would constitute a clearly unwarranted invasion of personal privacy [(b)(6) of the FOIA]
- b(7) Release would disclose information compiled for law enforcement purposes [(b)(7) of the FOIA]
- b(8) Release would disclose information concerning the regulation of financial institutions [(b)(8) of the FOIA]
- b(9) Release would disclose geological or geophysical information concerning wells [(b)(9) of the FOIA]



MAILMGT@A1

04/20/99 02:24:00 PM

Record Type: Record

To: Todd A. Summers@eop

cc: MCKAIG\_B@A1@CD@LNGTWY

Subject: CHERYL BAUERLE'S NT ID IS READY

ID = BAUERLE\_C, passwords are set to the Request number.

REQUEST: 281609

CSAR Status: RESOLVED

Updated By : MCKAIG

#: 01 Received By: CHASEZ

Recvd Time: 10:13 Date: 99/04/20

Last Name : BAUERLE

First Name: CHERYL Userid: N/A

Phone: 4562437

Room: 736 JP ORG: Off of Policy Develo

Application: WIND\_NT

Area: OA65 Code: ID Device: N/A

Referred To: SEC-MCK

Referred Time: 10 13 Date: 04 20 99

Reslvd By: SEC-MCK

Type: E Stat: Y RESLV TIME: 14:16 Date: 99/04/20

Problem Summary: Create New NT account with Lotus Notes Same as Daniel

Problem Detail: Montoya. Approved by Doug Matties.

Resolution Summary: Created NT, NOTES, ALLIN1 accounts.

Resolution Detail: ID = BAUERLE\_C . Emailed POC Todd Summers.

ADMIN- Staff -  
Bauerle, Cheryl

# Withdrawal/Redaction Marker

## Clinton Library

| DOCUMENT NO.<br>AND TYPE | SUBJECT/TITLE | DATE | RESTRICTION |
|--------------------------|---------------|------|-------------|
|--------------------------|---------------|------|-------------|

|            |                                                                       |            |      |
|------------|-----------------------------------------------------------------------|------------|------|
| 003. forms | re: Request for leave [Personally Identifiable Information] (2 pages) | 12/21/1999 | b(6) |
|------------|-----------------------------------------------------------------------|------------|------|

### COLLECTION:

Clinton Presidential Records  
National AIDS Policy Office  
Sandra Thurman  
OA/Box Number: 40014

### FOLDER TITLE:

Admin - Staff - Thurman, Sandra

2018-0764-F  
jm1996

### RESTRICTION CODES

#### Presidential Records Act - [44 U.S.C. 2204(a)]

- P1 National Security Classified Information [(a)(1) of the PRA]
- P2 Relating to the appointment to Federal office [(a)(2) of the PRA]
- P3 Release would violate a Federal statute [(a)(3) of the PRA]
- P4 Release would disclose trade secrets or confidential commercial or financial information [(a)(4) of the PRA]
- P5 Release would disclose confidential advice between the President and his advisors, or between such advisors [(a)(5) of the PRA]
- P6 Release would constitute a clearly unwarranted invasion of personal privacy [(a)(6) of the PRA]

C. Closed in accordance with restrictions contained in donor's deed of gift.

PRM. Personal record misfile defined in accordance with 44 U.S.C. 2201(3).

RR. Document will be reviewed upon request.

#### Freedom of Information Act - [5 U.S.C. 552(b)]

- b(1) National security classified information [(b)(1) of the FOIA]
- b(2) Release would disclose internal personnel rules and practices of an agency [(b)(2) of the FOIA]
- b(3) Release would violate a Federal statute [(b)(3) of the FOIA]
- b(4) Release would disclose trade secrets or confidential or financial information [(b)(4) of the FOIA]
- b(6) Release would constitute a clearly unwarranted invasion of personal privacy [(b)(6) of the FOIA]
- b(7) Release would disclose information compiled for law enforcement purposes [(b)(7) of the FOIA]
- b(8) Release would disclose information concerning the regulation of financial institutions [(b)(8) of the FOIA]
- b(9) Release would disclose geological or geophysical information concerning wells [(b)(9) of the FOIA]

THE WHITE HOUSE  
WASHINGTON

**MEMORANDUM FOR VIRGINIA APUZZO**

From: Todd A. Summers   
Deputy Director  
Office of National AIDS Policy  
(202) 456-2437

Date: March 17, 1999

Subject: **Request for WH Badge for Cheryl Bauerle**

---

We are pleased to have found an excellent candidate for one of the two staff positions that you assisted in securing for our office. Cheryl Bauerle has worked with Sandy during her tenure at the Carter Center (I also have had occasion to work with her at the 1996 convention in Chicago). Sandy and I are both thrilled that Cheryl has agreed to take the position as Sandy's assistant. She will be an incredible asset.

The attached Supplemental Information Sheet for Personnel Action requests a WH badge for Ms. Bauerle. I wanted to provide additional justification for this request. As you know, Sandy reports to Bruce Reed, and works closely with others who also have offices in the West Wing. In addition, both Sandy and I frequently attend meetings there. Having someone who can provide staff support at those meetings, assist us in clearing in guests, greet guests upon their arrival, and perform other similar tasks would be of great help to us.

We appreciate the special nature of a WH badge, and would hope that you would approve the attached request. Should you require additional information or substantiation, please let me know. Thank you!

**BUREAU OF AFRICAN AFFAIRS  
UNITED STATES DEPARTMENT OF STATE  
: WASHINGTON, D.C.**

**Fax Transmittal Form**

**Date:** 12/4

**To:** Sandy Thorneau

**Fax:** 456 - 2439  
**Phone:**

**From:** Lipsey Scherman

**Fax:** (202) 647-6301  
**Phone:**

**Number of Pages:**

**Subject:**

## **TABLE OF CONTENTS**

### **JEPC PREPARATION MEETING**

**Friday, December 1, 2000**

#### **TAB**

- 1. Agenda**
- 2. Participants**
- 3. Sidebar Activities**
- 4. Session 1 - Investment Climate**
- 5. Session 2 - Maximizing AGOA**
- 6. Session 3 - Poverty Alleviation**
- 7. Session 4 - Privatization**
- 8. Private Sector Sessions**

**US-Nigeria Joint Economic Partnership Committee**  
**December 6-7, 2000**  
**Agenda**

**Dec 5**

9:00-2:30            **U.S.-Nigeria Energy Consultative Group Meeting**

Venue: TBD

Participants: U.S.: DOE, USAID, EXIM, DOT. Nigerian: Power and Steel, BPE, NEPA, NNPC

Various presentations and discussions on energy sector activities, concluding with U.S. hosted lunch.

Time TBD            **Preliminary Larson-Asiodu meeting**

Go over the agenda, concerns.

Time TBD            **(Unconfirmed) Asiodu-Summers meeting**

**Dec 6**

8:45-9:15            **Opening Remarks**                      Larson, Rice  
Asiodu

Venue: Loy Henderson Auditorium

9:15-10:45            **Investment Climate**

*Goals: USG articulates areas of progress, areas needing help; GON lays out short and medium term goals and strategy for reaching them.*

- Larson and Asiodu will moderate.
- Eisenstat will lay out the U.S. view Nigeria's place in the world economy and acknowledge improvements the GON has made to date as well as the factors that make Nigeria unattractive to U.S. investors, including international competitiveness and corruption.
- James Shroeder (Deputy Under Secretary for Farms and Foreign Agricultural Service, USDA) will discuss lack of financing for Agriculture enterprises and infrastructure problems as barriers to sector development.
- Asiodu and Minister of Agriculture will respond.

- Eisenstat and Larson respond, making points about where Nigeria fits in the global economy, including on its attractiveness vis-à-vis the global competition as a destination for investment capital.
- Goldwyn (Energy) will briefly highlight reform priorities in the energy sectors.

Resource persons will include Valerie Dickson-Horton, who will be prepared to discuss the investor road map.

10:45-11:00        **Break**

11:00-12:15        **Maximizing AGOA: A Sustainable Export Strategy for Nigeria**

U/S Larson and Chief Asiodu moderate, briefly introduce speakers and issues.

*Goals: hear GON's AGOA strategy; identify and discuss strategies to eliminate export bottlenecks; seize new opportunities that AGOA presents.*

- Rosa Whitaker opens with a brief overview (Nigeria specific) what AGOA means to Nigeria and status of implementation from the USG perspective.
- Nigerian speaker (Chief Asiodu or Commerce Minister) will follow with a brief account of their AGOA strategy, including how it plans to take advantage of AGOA benefits, in which sectors they feel they are most competitive, what they perceive as constraints to Nigeria's ability to export, and the relationship between the GON and the Nigerian States in terms of getting the word out to the private sector on AGOA.

Steve Radelet (Treasury) serves as the resource person on export led growth - including customs, ports, trade regime - and will have points to make. Ed Casselle, Textile Director (Commerce), and James Shroeder (USDA) also serve as resource persons. Nigerian discussants will include Minister of Commerce, Chairman of the Nigeria Investment Promotion Commission, and Managing Director of the Nigerian Export Processing Authority. Discussion will include case studies.

12:30-1:45        **Lunch**

National Economic Advisor Gene Sperling will speak on building a consensus for reform.

**2:00-3:30 Poverty Alleviation**

Larson, Asiodu moderate.

*Goals: GON articulates poverty reduction strategy; USG offers critique, assistance; both sides understand status of program and way forward.*

- Akin Erikawe briefs on the current status of Nigeria's PRSP.
- National Economic Advisor Gene Sperling comments on the program, and on the challenges and advantages to an effective poverty reduction program.

Additional resource persons include Gayle Smith (NSC), James Shroeder (USDA), Ed Barbour (Treasury), and Valerie Dickson-Horton (USAID). Gayle will comment on building a broad-based popular consensus for poverty reduction and on soliciting and integrating popular views on the program, Tim will address an agriculture-based strategy for poverty reduction.

**3:45-5:15 Privatization: Status and Constraints to Progress**

U/S Larson and Chief Asiodu moderate, briefly introduce speakers and issues.

*Goals: assess current status of the privatization program; seek Nigerian input concerning constraints to progress; (possibly share lessons the USG has learned from privatization programs elsewhere).*

- El Rufai, Director General of the Bureau of Public Enterprises, will present on the status of privatization.
- Larson will discuss perceptions from abroad.
- Larson will initiate broader discussion of the mechanics, benefits, and pitfalls of privatization, and lessons learned elsewhere, bringing in specific Nigerian cases.

Valerie Dickson-Horton (USAID), Ed Barbour, DOE (TBD, probably David Goldwyn), and Transportation (probably Bernestine Allen) contribute as resource persons. Valerie and Ravi are prepared to make specific comments on the Nigeria privatization program.

**5:30-6:00 Side Meeting on Visa Issues**

This is at Nigeria's request. Asiodu and other Nigerian participants that he designates will discuss their concerns. CA, Howard Jeter, State AF, and NSC will participate.

**5:30-6:00 Sidebar Meeting on "Rehabilitation of Kainji Dam"**

This will be an open discussion about the Kainji Dam and Power plant, located in Niger State. For various reasons, the majority of the generating units at the plant are not currently operational. There are questions about water availability, power demand, and economic viability associated with the power generating units and about the stability of the dam. An assessment will determine what would be required to get the units operational and whether the embankments at the dam are structurally sound. Developing long-term strategies for a more reliable power supply from the plant is the goal.

Participants: U.D.-State, USACE, Energy, EXIM, others TBD. Nigeria-NEPA, others TBD.

**6:30-8:00 CCA Reception**

Venue: Mayflower Hotel.

Participants: about 200, entire delegations, official and private.

Dec. 7

(Note: Venue, Mayflower hotel. Control room, breakout rooms provided. Lunch on premises)

**Investing in Nigeria: A Forum**

*Goals: update the investor community on the government's commitment to reforms and privatization and on sector commercial opportunities; hold an open discussion between investors and Nigerian officials on the investment environment; create networking opportunities; develop a list of steps the Nigerian government and/or the U.S. business community can take to address systematic shortfalls in the enabling environment.*

9:00-09:10      **Welcome and Opening Remarks**

Princeton Lyman, Chairman, Nigeria Working Group

09:10-0915      **Summary of Day 1 Conclusions**

Al Larson

9:15-9:30      **Nigeria: The Case for Investment**

Chief Phillip Asiodu

9:30-10:45      **Investment Roundtable, Followed by Private Sector Q&A**

Chief Phillip Asiodu opens with overview. 15 min

- El Rufai speaks on privatization. 5 min
- NIPC Chair discusses Trade and Investment Environment, Perspective of the Public Sector 5 min
- Bunmi Oni (Chairman, National Economic Summit Group) speaks on Trade and Investment Environment, Perspective of the Private Sector 10 min

Q&A

10:45-11:00      **Break**

**11:00-12:30      Sector Breakout Sessions (Co-Chaired by U.S. and Nigerian Private Sector Representatives)**

Each sector features presentation by Nigerian government official (10-15 minutes), followed by a presentation by Nigerian private sector representative (10-15 minutes). At least one U.S. official from the appropriate sector present for each breakout session, but as a resource person only. Sectors: Telecommunications, Energy and Power, Agriculture, Transportation, Small Business.

**12:45-2:00              Lunch**

Larson makes general comments about the sector sessions in his introduction of Amb. Barshevsky (not yet confirmed), who gives keynote address on "Opportunities and Risks for Developing Countries in the Global Economy"

**HIV/AIDS Forum**

**2:30-2:45              Welcome and Opening Remarks**

Maurice Tempelsman, Chairman, CCA Board of Directors, and Chairman, International Advisory Committee, Harvard AIDS Project

**2:45-3:15              The Nigerian Public Sector View of the Problem and Its Effect on Nigeria**

Nigerian lead, TBD

**3:15-3:30              Q&A**

**3:30-4:15              The US Corporate View on AIDS in Africa**

Joe Sills, Co-Chair, CCA Task Force on AIDS in Africa, moderates. Three U.S. companies do brief (5-10 minute) presentations on AIDS in the workplace. Merck, Placer Dome, and Paul Hare for the Angola Group. These are active, experienced presenters and will not put the audiences to sleep.

**4:15-5:15              Open Discussion (case studies)**

**5:15-5:30              Summary and Conclusions**

**5:30                      Adjourn**

**6:30                      Foreign Press Briefing**

**THOSE THAT ARE ACCREDITED FROM THE PRIVATE SECTOR**

| S/NO | NAME                               | ORGANISATION                                    |
|------|------------------------------------|-------------------------------------------------|
| 1.   | Mr. Allison A. Ayida               | Commercial Bank (Credit Lyonnais Nig Ltd)       |
| 2.   | Alhaji Bamanga Tukur               | African Business Round Table                    |
| 3.   | Chief Sonny Odogwu                 | African Prudential Insurance Co. Ltd            |
| 4.   | Lady Chief (Barr.) Joy Dike Udensi | Citizens International Bank Limited             |
| 5.   | Alhaji Umaru Abba-Gana             | African Petroleum Plc                           |
| 6.   | Chief (Mrs) Opral Benson           | Johnson Products of Nigeria Limited             |
| 7.   | Mrs. Funmi Sanusi                  | African Business Round Table                    |
| 8.   | Mallam Mohammed Hayudeen           | FSB International Bank                          |
| 9.   | Mr. Mahmud Tukur                   | Daddo Maritime Services Limited                 |
| 10.  | Otunba Adekunle Ojora CON          |                                                 |
| 11.  | Chief Lai Olumegbon MON            | Lai Tailoring Service                           |
| 12.  | Mr. Ayo Ogunlana                   | Haylton Professional Ltd                        |
| 13.  | Prince A. Erediauwa                | Legal & Surveillance                            |
| 14.  | Mr. Eyo. O. Ekpo                   | Law Union                                       |
| 15.  | Mr. Henry Chukwuma Okolo           | Crestwell Industries Limited                    |
| 16.  | Alh. T.A. Sanni                    | Hamsan Ent., Nig., Ltd                          |
| 17.  | Elder Henry Dogunduro              | United Bank Plc                                 |
| 18.  | Prince M.S.O. Oderinde             | Voky Nig Ltd                                    |
| 19.  | Mr. Peter Elosia, MBKS             | Elo-Pee Worldwide Television Limited            |
| 20.  | Mr. Atedo N.A. Peterside           | Investment Banking & Trust Co. Ltd              |
| 21.  | Chief A.B. Adebowale, OON          | Adebowale Electrical Industries Limited         |
| 22.  | Chief I.O. Olagbaju                | Olusanu Ormo Area Trading Co Nig. Ltd           |
| 23.  | Mrs. Ify P. Akerele                | Theodore Allen Consulting Limited               |
| 24.  | Dr. Mary I. Agboli                 | Nigerian Economic Summit Group                  |
| 25.  | Mr. Bunmi Oni                      | Cadbury Nigeria Limited                         |
| 26.  | Mr. Akande Chief Harry Akande      | African Business Round Table                    |
| 27.  | Dr. Fati Tagwai Aji                | African Business Round Table                    |
| 28.  | Erelu Abiola Dosumu                | African Business Round Table                    |
| 29.  | Prince Joseph Idiong               | Association of Nigerian Exports                 |
| 30.  | Prince M.S.O. Oderinde             | Kwara Chamber of Comm. Ind. Mines & Agric       |
| 31.  | Mr. S.O. Ogundare                  | Abuja Chamber of Comm. Industries Mines & Agric |
| 32.  | Mr. Frank Omo-Amadasun             | Benin Chamber of Comm. Ind. Mines & Agric.      |
| 33.  | Mr. Nelson Ogunwewo                | " " " " "                                       |
| 34.  | Rev W.E. Ogbe                      | Sapele Chamber of Comm, Ind. & Agric            |
| 35.  | Alhaji T.A. Sanni                  | Kwara Chamber of Comm, Ind. Mines and Agric     |
| 36.  | Chief I.O. Olagbaju                | Ife Chamber of Comm, Ind, Mines & Agric         |
| 37.  |                                    |                                                 |
| 38.  |                                    |                                                 |
| 39.  |                                    |                                                 |

**THOSE THAT ARE ACCREDITED FROM THE PUBLIC SECTOR**

| S/NO | NAME                       | ORGANISATION                                          |
|------|----------------------------|-------------------------------------------------------|
| 1.   | Chief Philip Asiodu        | Chief Economic Adviser to the President               |
| 2.   | Dr (Mrs) Kema Chikwe       | Honourable Minister of Aviation                       |
| 3.   | Amb. (Dr) Hassan Adamu     | Honourable Minister of Agric and Rural Development    |
| 4.   | Mr. Kanu G. Agabi, SAN     | Honourable Minister of Solid Minerals Development     |
| 5    | Prof Jubril Aminu          | Nigeria Ambassador to U.S.                            |
| 6    | Professor Ango Abdullahi   | Special Adviser to the President on Food Security     |
| 7    | H.E. Augustine Agade       | Nigerian High Commission, Washington                  |
| 8    | Dr. Hamilton Isu           | Office of the Vice President                          |
| 9    | Mr. Kayode Garrick         | Nigerian High Commission, Washington                  |
| 10   | Mrs. Chigozie Obi-Nnadozie | Nigerian High Commission, Washington                  |
| 11   | Chief G.A. Sobajo          | National Planning Commission                          |
| 12   | Chief Olukayode Akindede   | Office of the Chief Economic Adviser to the President |
| 13   | Dr. Ajuji Ahmed            | Office of the Vice President                          |
| 14   | Alhaji Umaru Shehu Ndanusa | " " " "                                               |
| 15   | Amb. Mamman M Daura        | Ministry of Foreign Affairs                           |
| 16   | Engr. J.K. Babatunde       | Federal Ministry of Power & Steel                     |
| 17   | Mrs. Catherine Okon        | Federal Ministry of Aviation                          |
| 18   | Engr. M. Bukar             | Fed. Ministry of Water Resources                      |
| 19   | Mrs. Roseline F. Bolade    | Federal Ministry of Commerce                          |
| 20   | Dr (Mrs) M.L. Haraza       | Federal Ministry of Science & Technology              |
| 21   | Engr. H. Nggada            | Federal Ministry of Power & Steel                     |
| 22   | Mr. H.N.O. Ezenwa          | Federal Min. of Agriculture & Natural Resources       |
| 23   | Dr. Suleiman Sani          | Federal Ministry of Health                            |
| 24   | Mr. C.C. Ezenwa            | National Planning Commission                          |
| 25   | Chike Ogeah Esq            | Office of the Chief Economic Adviser to the President |
| 26   | Mrs. J.N. Nwoko            | Ministry of Petroleum Resources                       |
| 27   | Mr. Antah Ochinke          | Cross River State Government                          |
| 28   | Mrs. (Mrs) I.C. Unaogu     | Fed. Min. of Solid Minerals Development               |
| 29   | Mrs. Grade Eyibio Ekong    | Akwa Ibom State Government                            |
| 30   | Mrs. K.A. Ajala            | Federal Ministry of Industries                        |
| 31   | Mr. S.U. Nene              | Office of the Chief Economic Adviser to the President |
| 32   | Dr. B.N. Olorunfemi        | Ministry of Solid Minerals Development                |
| 33   | Alhaji I.Z. Isa            | Ministry of Solid Minerals Development                |
| 34   | Mr. E. Akomaye             | Ministry of Solid Minerals Development                |
| 35   | Dr. S.A. Ingawa            | Ministry of Agric and Rural Development               |
| 36   |                            |                                                       |
| 4037 | Mr. Lanre Musa-Elakama     | Nigeria Stock Exchange                                |
| 4138 | Engr. Akin Sawyerr         | Nigerian Investment Promotion Commission              |

|                  |                            |                                            |
|------------------|----------------------------|--------------------------------------------|
| <del>42.39</del> | Alhaji El-Rufai            | Bureau for Public Enterprises              |
| <del>42.40</del> | Mr. Vincent Uwegba         | Nigerian Investment Promotion Commission   |
| <del>42.41</del> | Mal. Hamza Sule Wuro-Bokki | Gombe State Government                     |
| <del>42.42</del> |                            |                                            |
| 5.               | HON. DUBEM ONYIA           | HON. MINISTER OF STATE FOR FOREIGN AFFAIRS |
|                  |                            |                                            |
|                  |                            |                                            |
|                  |                            |                                            |
|                  |                            |                                            |

**ACCREDITATION LETTERS SIGNED BY CHIKE OGEAH THE P.A. TO CEA**

| <b>Government Sector</b>                                                             | <b>Private Sector</b>                               |
|--------------------------------------------------------------------------------------|-----------------------------------------------------|
| 1. Alhaji El-Rufai - D.G. (BPE)                                                      | 1. Chief H. Akande                                  |
| 2. Dr. Hamilton Isu - Office of V.P.                                                 | 2. Dr. Fati Tagwai Aji                              |
| 3. Dr. Ajuji Ahmed - " "                                                             | 3. Erelu Abiola Dosumu                              |
| 4. Dr. B.N. Olorunfemi - Min of Solid Minerals Development                           | 4. Prince Joseph Idiong - Ass. Of Nigerian Exporter |
| 5. Alhaji I.Z. Isa - Min of Solid Mineral Development                                |                                                     |
| 6. Mal. Hamza Sule Wuro-Bokki - Gombe State Investment and Properties Dev., Co., Ltd |                                                     |
| 7. Dr. J.E. Enueme - Min of Comm, Ind, Cooperative & Tourism                         |                                                     |
| 8. Mr. E. Akomaye - Min of Solid. Mineral Deve                                       |                                                     |

**Byrne, Catherine E. (AF)**

---

**From:** WHSR  
**Sent:** Monday, November 20, 2000 3:37 PM  
**To:** Babbitt, James F. (VP); Byrne, Catherine E. (AF); Cables; Harris, Grant T. (AF); Smith, Gayle E. (AF)  
**Subject:** PROPOSED U.S.-NIGERIAN ENERGY CONSULTATIVE GROUP MEETING ON DECEMBER 5 IN WASHINGTON, DC

**ActionAddres:** RUEHOS/AMCONSUL LAGOS PRIORITY 2035  
RUEHUJA/AMEMBASSY ABUJA 3439  
**Classification:** UNCLASSIFIED  
**DateTime:** 202128Z NOV 00  
**Distribution:** SIT: BABBITT BYRNE NSC HARRISG SMITH  
**Identifier:** M4740684  
**InfoAddres:** ///  
**Line1:** PAAUZYUW RUEHCAA1802 3252130-UUUU--RHEHAAX.  
**Line2:** ZNR UUUUU ZZH  
**Line3:** P 202128Z NOV 00  
**Line4:** FM SECSTATE WASHDC  
**Originator:** SECSTATE WASHDC  
**Precedence:** PRIORITY  
**Profiles:** BABBITTJ  
BYRNEC  
CABLES  
HARRISG  
SMITHG  
**StationRoutingIndicator:** RUEHC  
**StationSerialNumber:** 1802  
**TimeOfReceipt:** 11/20/2000 16:36:30 ET

UNCLAS STATE 221802

PASS TO RAVINDER AULAKH (USAID)

E.O. 12958: N/A  
TAGS: ENRG, ECON, NI  
SUBJECT: PROPOSED U.S.-NIGERIAN ENERGY CONSULTATIVE GROUP MEETING ON DECEMBER 5 IN WASHINGTON, DC

1. THIS IS AN ACTION MESSAGE. SEE PARAS 3 AND 4 BELOW.

2. THE U.S. DEPARTMENT OF ENERGY (DOE), IN CONJUNCTION WITH THE U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT (USAID) AND OTHER INTERESTED AGENCIES, PLANS TO HOST THE SECOND ENERGY CONSULTATIVE GROUP (ECG) MEETING ON DECEMBER 5. THE ECG MEETING WOULD BE HELD PRIOR TO THE SCHEDULED JOINT ECONOMIC PARTNERSHIP COMMITTEE (JEPIC) MEETING (DECEMBER 6 AND 7). THE PROPOSED TIMING WOULD ALLOW THE ECG TO CAPITALIZE ON THE PLANNED PRESENCE OF SENIOR NIGERIAN OFFICIALS IN WASHINGTON AND WOULD PERMIT BOTH SIDES TO REPORT ON PROGRESS AND PRIORITIES. ASSISTANT SECRETARY FOR INTERNATIONAL AFFAIRS DAVID GOLDWYN WOULD LEAD THE U.S. SIDE FOR THE ECG. A PRELIMINARY AGENDA IS INCLUDED IN PARA 4 BELOW.

3. ACTION: EMBASSY IS REQUESTED TO CONFIRM ACCEPTANCE OF THE PROPOSED DATE BY MINISTER OF POWER AND STEEL AGAGU AND THE AVAILABILITY OF MINISTER AGAGU AND/OR PERMANENT SECRETARY AKERENDU, AND OTHER APPROPRIATE NIGERIAN OFFICIALS, INCLUDING FROM THE BUREAU OF PUBLIC

ENTERPRISES (NASIR EL-RUFAl), THE NATIONAL ELECTRIC

POWER AUTHORITY (NEPA) TECHNICAL MANAGEMENT BOARD (SENATOR LIYEL IMOKE) AND NEPA (THE MANAGING GROUP DIRECTOR), THE DEPARTMENT OF PETROLEUM (PETER ACHEBE), AND NIGERIAN NATIONAL PETROLEUM CORPORATION. IN ADDITION, DOE REQUESTS THAT A SPECIAL INVITATION BE EXTENDED TO PRESIDENTIAL SPECIAL ADVISOR FOR PETROLEUM RILWANU LUKMAN.

4. ACTION: EMBASSY IS REQUESTED TO TRANSMIT THE FOLLOWING PRELIMINARY AGENDA TO PROPOSED PARTICIPANTS.

BEGIN TEXT:

SECOND U.S. - NIGERIAN ENERGY CONSULTATIVE GROUP MEETING

DRAFT AGENDA  
WASHINGTON, DC, USA  
DECEMBER 5, 2000 (9:00 AM TO 2:30 PM)

A. GREETINGS U.S. REP TO BE DETERMINED

B. OPENING REMARKS MINISTER AGAGU  
ASSISTANT SECRETARY GOLDWYN

C. U.S. PRESENTATIONS ON PROGRAMS AND ACTIVITIES (POWER  
SECTOR REGULATION, DEMAND SIDE MANAGEMENT, AND RURAL  
ELECTRIFICATION)

D. NIGERIAN RESPONSES AND PRESENTATIONS ON  
COMMERCIALIZATION, PRIVATIZATION AND REFORM EFFORTS  
(LED BY MINISTER AGAGU AND BPE EL-RUFAl)

E. OVERVIEW OF DOE/AID JOINT ENERGY PROGRAMS AND  
COORDINATION WITH OTHER DONOR AGENCIES, INCLUDING THE  
WORLD BANK

F. OIL AND GAS SECTORS DEVELOPMENTS

G. ENERGY POLICY AND LONG-TERM STRATEGY

H. SUMMARY OF RESULTS AND PATH FORWARD

I. CLOSING REMARKS

J. LUNCH TO BE HOSTED BY U.S. SIDE (1:00 TO 2:30 PM)

END TEXT.

5. DOE WOULD FINALIZE THE AGENDA AFTER FEEDBACK FROM  
POST AND THE NIGERIANS AND CLOSE COORDINATION WITH OTHER  
U.S. AGENCIES, INCLUDING USAID. THE U.S. SIDE, WHICH  
WOULD INCLUDE REPRESENTATIVES FROM SEVERAL DOE PROGRAM  
OFFICES AS WELL AS OTHER U.S. AGENCIES, WOULD ALSO BE  
AVAILABLE FOR BILATERAL DISCUSSIONS WITH VARIOUS  
NIGERIAN REPRESENTATIVES.

6. DOE GREATLY APPRECIATES POST ASSISTANCE IN CONTACTING  
VARIOUS NIGERIAN REPRESENTATIVES TO HELP COORDINATE  
DETAILS OF THE ECG MEETING. PLEASE SLUG RESPONSE TO  
GEORGE PERSON AND JOHN BRODMAN (IA-32).  
ALBRIGHT

**Joint Economic Partnership Committee (JEPC)****SIDE MEETING,  
ON  
REHABILITATION OF KAINJI DAM**

**Purpose:** To plan assessment mission for rehabilitation of the Kainji Dam, Nigeria.

**Attendees:**

- Lead: United States Army Corps of Engineers (USACE)
- Nigerian Representatives
  - National Electric Power Authority (NEPA)
- United States State Department
- United States Department of Energy
- United States Trade and Development Agency
- Export - Import Bank

**Date:** December 6, 2000, 5:30 - 6:00 p.m.

**Overview:** This will involve a brief presentation by USACE and open discussion about the Kainji Dam and Power plant, located in the Niger State of Nigeria. For various reasons, the majority of the generating units at the plant are not currently operational. There are questions about the water availability, power demand, and economic viability associated with the power generating units and of the stability of the dam. An assessment will determine what would be required to get the units operational and whether the embankments at the dam are structurally sound. Developing long term strategies for a more reliable power supply from the power plant is the goal. Interested parties from Nigeria and from the U.S. Government will participate."

JEPC Session on the Visa Issue  
December 6, 2000 - 5:00 p.m.  
Room 1107  
Scope Paper

**Objective:** To explain to Nigerians U.S. immigration law with respect to the visa adjudication process;  
To get the GON to reduce or eliminate the use of legitimate letters in support of questionable visa applicants and ensure greater control over its documentation to eliminate issuance of fraudulent MFA documents.

**Format:** The session will be chaired by U/S Larson.

**Participants:** On the U.S. side, U/S Larson, A/S Susan Rice, CA/VO/FP Guyle Cavin, Witney Schneidman, AF/DAS William Bellamy, NSC Gayle Smith, Howard Jeter, Donald Booth, Steven Brundage, and AF/W Portia McCollum.

**Background:** The subject of visa issuance in Nigeria has been one that our Nigerian interlocutors complain about with increasing regularity. Nigerians asked that a session of the JEPSC be devoted to the visa issue.

Congen Lagos is one of the most difficult places for visa adjudication in the world. (Embassy Abuja has not yet begun to issue visas.) Applicants for visas (immigrant and nonimmigrant) frequently change their physical appearance and present fraudulent Nigerian passports. Most critical in our attempts to verify information presented is the fact that births, deaths, and marriages are not systematically recorded. Based upon self-serving and late testimony, civil documents are unreliable. Applicants often present documents with altered birth dates and names in order to claim benefits they are not entitled to or to avoid scrutiny of their past behavior that would cause them to be denied visa privileges. Moreover, there also appears to be no control over the widespread abuse of official and

diplomatic passports and documents issued by the Ministry of Foreign Affairs (MFA) documents in support of visa applications.

The Consular section receives on average 50-80 notes verbale per month in support of NIV applications. The MFA, in the recent past, has issued such notes on behalf of visa applicants representing state governments, traditional rulers, parastatals, university lecturers, medical practitioners, NGO leaders, boy scout troops, prizefighters, Tae-Kwon Do experts, flight instructors, soccer ball jogglers (sic), and assorted experts. This attempt to secure a favored entry into the visa issuing process has essentially ended the value of this means of communication.

The National Assembly and the Offices of the President and Vice President of Nigeria also seek regularly to reward their constituents with U.S. visas whenever possible by padding their travel entourage or by providing reference letters.

The Immigration and Nationality Act (INA) governs U.S. visa issuance. Unlike many countries, a U.S. non-immigrant visa is not permission to enter the U.S. and does not grant admission or determine how long one may stay in the U.S. Under the law, a non-immigrant visa grants the bearer permission to apply at a U.S. port of entry before an INS inspector to seek these benefits. U.S. law and regulations, with very few exceptions, presume that non-immigrant visa applicant is an intending immigrant unless he or she proves otherwise to the satisfaction of the consular officer.

It is the duty of interviewing consular officers around the world to examine the application (and, where necessary, any relevant additional information offered by the applicant) to try to determine whether the applicant has overcome the intending immigrant presumption. Consular officers will frequently ask questions concerning financial and other ties that would compel the applicant to return to their home abroad after their stay in the U.S.

This scrutiny and these efforts to determine the legally required intent of the applicant may offend Nigerians. Without responding to these questions, personal though they may be, few Nigerians bring sufficient evidence

to the interview to convince the consular officer of their intent to return to Nigeria. The interview is the means by which the consul can verify such compelling ties that the visa might be issued, and is a regular part of the visa adjudication process around the world.

The entire visa adjudication process in Lagos is made more difficult by the shortage of U.S. staff relative to demand. This staffing gap forces short, direct interviews to be the norm, exacerbates the perception that the interviewing officers are curt and uninterested in the applicant, and focuses attention on the question the interviewer asks, regardless of whether the response to that question was critical to the eventual decision.

Nigerians will continue to have difficulty proving their bona fides as non-immigrants so long as low wages, unemployment and underemployment cause many applicants to seek better opportunities in the United States. We do not make refusal rates public, but base each adjudication upon the circumstances of the particular case. However, the Lagos nonimmigrant visa refusal rate is comparable to other countries where the same outmigration push exists (Jamaica, the Philippines and the Dominican Republic, for example). It should be noted that the FY 1999 Lagos refusal rate was not even in the top twenty worldwide and was only 8th among AF posts.

The Consulate General in Lagos has conducted a continuous information campaign to educate the Nigerian public on the application process, eligibility requirements, procedures for appointments, and requirements for diplomatic and official visas. We are again examining how the process looks from the outside to see whether efficient operations are being masked by visible delays.

#### Visa Services in Nigeria

---As of November 1, the Consular Section of Consulate General Lagos was fully staffed for the first time in over four months. The new Consul General, Ronald Robinson, arrived in October 2000.

---Since then, he has taken a personal interest in improving customer service among mission employees and the public. For example, he personally reviewed and interviewed previously declined applicants who wanted to

attend a trade show sponsored by the Foreign Commercial Service.

---He has encouraged mission employees to make better use of class "A" referrals.

---He personally facilitated visa issuance to key bankers and investors to attend the World Bank/IMF's Africa Forum 2000 October 30 - November 3, 2000.

#### Long Range Goals

---Reduce congestion in the visa waiting area.  
Recommendations:

1. Explore the possibility of off-site MRV collections;
2. Reduce the number of lines applicants have to wait in.

---Fine-tune the visa appointment system. Work with CA to implement an appointment system by phone.

---Encourage officers to do more community outreach.

1. Work with Public Affairs's Educational Advising Center to better prepare prospective students for studying in the U.S. A consular officer will address students on the student visa application process. The first session took place on October 16, 2000, and the second session took place on November 15, 2000.
2. Arrange for a feature story in a few of the local newspapers on the visa application process.

Anticipated Results: To provide Nigerians a greater understanding of U.S. immigration law with respect to visa issuance, and encourage the GON to commit to curb abuse of its official organs to support fraudulent and diplomatic and official visas.

**JEPC****Session on Creating an Attractive Investment Climate  
December 6, 2000, 9:15 - 10:45 AM**

**Goals:** Identify and discuss practical barriers to investment; match GON willingness to tackle constraints with USG and other resources; set forth areas/indicators where improvements in the investment climate would be visible/useful (e.g., increased private domestic investment and FDI in key sectors and reduced capital flight); and, agree on ways to publicize real changes on the ground in ways that build Nigeria's credibility with both domestic and foreign investors.

**Format:** Roundtable discussion with 5-6 speaking participants from each side. Other interested government officials will be in the audience, leaving time at the end of the formal roundtable presentations for general discussion and wrapup.

**Participants:** USG: State (Larson, Schneidman); USAID (Dickson-Horton); Treasury (Eisenstat); Commerce (Casselle); USDA (Shroeder); DOE (Goldwyn); USACE (Brown); OPIC (TBD); DOT (Allen). GON: Commerce Ministry (Bello); Office of the President (Asiodu); BPE (El-Rufai); NITEL (Ojeba); NCC (Ndukwe); NAA (Jones).

**Background:** U.S. and other companies say they face problems of: poor security; decrepit and inadequate transportation and telecommunications services; fuel and power shortages; endemic fraud and corruption; slow and ineffective legal system; lack of sound and stable policy environment; weak systems and enforcement of commercial laws; and an underdeveloped financial sector. This comes on top of grinding poverty, slow economic growth, and a relatively unskilled labor force. All investors claim that the government's approach remains relatively statist and does not try very hard to create incentives, opportunities, and appropriate protection for productive, market-oriented investment that would spur growth and create jobs.

**Structure:** Rather than focus on the "right" macro-economic policies and enabling environment, we will encourage a discussion of the current, specific problems in Nigeria's investment climate. The discussion should compare Nigeria's ambitious investment goals and high potential with the persistent reluctance of major foreign investors to make substantial investments, as well as the reluctance of Nigerians to ramp up investment and repatriate capital.

Nigerian officials lay out their view of constraints to FDI and domestic investment and why these are so difficult to eliminate. The GON then describes steps taken to date and future plans to further improve the investment climate. The USG shares the experiences of other countries seeking to eliminate investment barriers and increase FDI, including the role of deregulation and privatization and new public-private partnerships to identify and tackle investment obstacles. We should compare Nigerian investment levels with a range of other developing countries to provide a sense of their potential if barriers were eliminated and the investment climate improved.

It will be important to key off of whatever elements of the "Investor Roadmap" have been completed for Nigeria as well as recent reports on Nigeria's overall competitiveness and its results (no clear sense by investors that Nigeria is a place in which they are prepared to risk long term capital). It would be useful to look specifically at regulatory burdens and State ownership/control, noncompetitive procurement, contracting irregularities, and corruption, and contrast those with areas in which Nigeria needs and might expect new investment if conditions improved (for example, power, water, telecommunications, transportation, agro-processing). USG participants suggest Nigeria uses the postponed CG to make clear a new commitment to improve the investment climate.

Larson will introduce Eisenstat, who will introduce the topic and briefly discuss Nigeria's place in the world economy. The GON will speak on reform efforts already made, remaining barriers from GON perspective, and next steps. Eisenstat and Larson will respond with comments on the current global investment environment, including Nigeria's competitiveness as a destination for investment. Shroeder (USDA) will make points on financing and infrastructure constraints from an Agriculture perspective, and Goldwyn (Energy) will briefly highlight reform priorities in the energy sectors. Roundtable participants speak for about 45 minutes, leaving 20 minutes for audience discussion and a five minute wrapup.

**Results:** Learn status of Commerce Ministry's office to assist U.S. companies and other programs and policies to assist investors; hold frank dialogue about Nigeria's current attractiveness to investors in the global investment climate, its potential, and the critical role of investment in economic growth and job creation; determine GON interest in establishing public-private sector working group on investment issues;

explore whether the "Investor Roadmap" exercise could be taken up more broadly by the GON to set market-oriented benchmarks for steps to lower investment barriers and costs; help make the GON still more aware of USG and international programs of support.

**JEPC****Session on Maximizing AGOA: A Sustainable Export  
Strategy for Nigeria****December 6, 2000, 11:00 - 12:15 AM**

**Goals:** Seek GON input on what they are doing to take advantage of AGOA and maximize non-oil exports; assess specific barriers in Nigeria to increasing non-oil exports and actively discuss means of overcoming them; discuss how the GON is marketing the potential benefits of AGOA to ensure widest participation.

**Format:** Long rectangular table, Larson and Asiodu moderate at head, relevant government officials line each side, additional seating around the room. Whitaker opens with a brief overview of what AGOA means to Nigeria and the status of implementation from the USG perspective. The GON delegation responds with a brief account of their export strategy (including the role of export incentives) and how they intend to take advantage of AGOA. USG will focus the discussion by providing a brief overview on apparent constraints to export-led growth (customs, ports, trade regime) and then seek Nigerian input on means of overcoming these, as well as other constraints the GON identifies. The last ½ hour will focus on discussion of strategies for successfully marketing the potential benefits of AGOA.

**Participants:** USG: Larson (State), Radelet (Treasury), Whitaker (USTR), Casselle (Commerce), TBD (USDA), Schneidman (State). GON: Asiodu, Governor Donald Duke (Cross Rivers), Governor Bola Tinubu (Lagos), Minister of Ports (requested), Minister of Customs (requested), Minister of Industry, Minister of Transport, Minister of Agriculture.

**Structure:**

- Whitaker opens with brief over of AGOA as it applies to Nigeria (5 minutes).
- GON (Industry/Agriculture/NIPC) will respond with a description of how their export strategy will maximize benefits of AGOA (10 minutes).
- USG will then look at the strategy as it relates to the main sectors of export-led growth.
  - Steve Radelet will provide overview of policies needed to maximize exports and will provide specific information

related to the role of manufactured goods (10 minutes).  
-- USDA will address commodity exports.

- Larson will shift discussion to constraints to exports. GON (Governors, Ministers of Ports, Customs, Industry) will list what they see as major constraints to export-led growth.
- USG will begin free discussion by providing views on major constraints to export-led growth.
  - Radelet will open with brief comments on Nigeria's export environment as it relates to the trade regime, infrastructure, and ports (5 minutes).
  - Free discussion on overcoming constraints to exports (20 minutes).
- Larson will shift discussion to marketing AGOA.
  - Whitaker will ask how Nigeria is marketing AGOA after sharing methods begun elsewhere in Africa (5 minutes).
  - Representative from VP Office/AGOA implementation committee will provide update on how they are maximizing participation in AGOA (10 minutes).

**Session 1 - Treasury Talking Points**  
***DRAFT - Outline of Likely Points Only***

- **Steve Radelet will provide overview of policies needed to maximize exports and will provide specific information related to the role of manufactured goods (10 minutes)**
  - ***Purpose*** - During the last thirty years, with only a few exceptions, the countries that have achieved the most rapid gains in income per capita are the very same countries that recorded the most rapid gains in manufactured exports. Though many countries promote manufactured exports simply to attain foreign exchange, the much larger benefits of such a growth strategy revolve around the long-term derivative benefits of technology transfer and productivity increases.
  - ***Means*** - To capitalize on manufactured exports, governments need to take an active role but not through picking winner firms or industries or through price manipulation. Rather, the government needs to create an environment conducive for these firms to compete on world markets through easy access to duty free imports of capital goods and raw materials, well-functioning infrastructure, and rapid clearance through ports. Successful countries have used well-managed facilities such as bonded-warehouses, duty exemptions, and export processing zones to help exporters.
  - ***Experience*** - In addition to the Asian countries that made such strategies particularly famous, several African countries have achieved success in this realm including Tunisia and Mauritius by targeting openness to trade and sound investment in infrastructure. Ghana has had less success in this area despite export incentive schemes due to inadequate removal of administrative and financial barriers to exports.
- **Steve Radelet will open with brief comments on Nigeria's export environment as it relates to the trade regime, infrastructure, and ports.(5 minutes)**
  - ***The Nigerian Strategy*** - Nigeria has demonstrated an interest in supporting manufactured export-led growth through a gradual liberalization of the tariff regime and a series of export incentive schemes. Perhaps, one of the most notable efforts is the Export Processing Zone at Calabar Port, where companies are not subject to any Federal, State, or Local taxes, tariff, and customs duties. Despite these benefits and the fact that the zone was built in 1995, the EPZ still has roughly only five companies operating, producing very few exports. What is missing in this environment and what does it reveal about what Nigeria as a whole needs to increase exports and take advantage of AGOA?

- *Analysis* - At the Calabar Port, the tariff regime is appropriate and I look forward to seeing similar liberalization on imported capital goods for all of Nigeria. But I understand that basic infrastructure – power, water, and telecommunications – are inconsistent and costly. Even though the zone does charge fees, the government stills owns the zone which likely creates a fiscal dependency on the public sector for needed funds and inserts unnecessary state intervention in investment decisions. The average turnaround time at the berth may be as low as 48 hours but perhaps not altogether telling given such a low level of current utilization. The larger question remains the amount of time to clear imports through customs which in Nigeria as a whole is reported to be an astounding 25 days according to the 2000 Africa Competitiveness Report.
- *Conclusion* – The problems of Calabar mirror the problems with Nigeria's export environment more broadly. I would be interested in knowing how you plan to overcome them both in Calabar and in Nigeria at-large. AGOA will only help Nigeria as much as Nigeria itself does the necessary work to benefit from it.

*Drafted by: Geoff Gottlieb*  
*Not Cleared*

**JEPC****Session on Poverty Alleviation  
December 6, 2000, 2:00 - 3:30 PM**

**Goal:** Obtain GON commitment to develop a participatory Poverty Reduction Strategy and draft a credible, comprehensive Poverty Reduction Strategy Paper (PRSP). Nigeria will be required to have an interim PRSP ahead of adopting a 3-year IMF program in 2001 that focuses on these areas and articulates an implementation strategy. Stakeholder participation and buy-in will be critical. Since many of the poverty alleviation programs we are supporting in Nigeria are just getting started, the discussion should also be geared toward maximizing the effectiveness of our programs in the key areas of agriculture, agribusiness, health, nutrition, education, and finance.

**Format and Participants:** U/S Larson and Chief Asiodu will moderate. GON speaker: Akin Erikawe, author of the GON Poverty Alleviation Paper (to be confirmed) or Asiodu. USG speakers: Gene Sperling, followed by Gayle Smith, Tim Galvin, Valerie Dickson-Horton.

Erikawe will present opening remarks outlining the GON's poverty alleviation strategy, based on his draft paper. Other Nigerian participants TBD.

**Structure:** Sperling will comment on the Nigerian approach and discuss the challenges to an effective poverty reduction program. Smith will comment on building a broad-based popular consensus for poverty reduction and integrating stakeholder views into the program. Schumacher will address the importance of an agriculture-based strategy for poverty reduction, citing agribusiness and micro-enterprise/SME activities that have been successful world-wide in generating employment for small-scale entrepreneurs. Dickson-Horton will address USAID's program to contain HIV/AIDS in Nigeria and link between structural and sectoral reforms that generate economic growth and poverty reduction.

During the discussion, we will attempt to address the GON's concerns regarding buy-in, government support, and implementation capacity, and discuss means of addressing these concerns.

**JEPC**  
**Session on Privatization**  
**December 6, 2000, 3:45 - 5:15 PM**

**Goal:** This session will: 1) assess the current status of the privatization program; and 2) seek Nigerian input as to the constraints on progress. Stress the importance of privatization not only in terms of potential economic benefits (which the BPE understands) but also the symbolic importance for establishing a demonstrable track record on economic performance. This discussion also represents an opportunity to ensure that current engagement by USAID and the World Bank on privatization is consistent with the most pressing needs.

**Format:** A long rectangular table; Larson/Asiodu moderate, government resource persons line the table, additional seating around room.

**Participants:** USG: USAID (Dickson-Horton, Aulakh), EXIM (Cabe), State (Larson, others TBD), Energy (Goldwyn), Transportation (Allen), NSC (Smith), USACE (Brown); Treasury (Barbour). GON: BPE (El-Rufai), GON Presidency (Asiodu), Nigeria Airways (Jones), Power and Steel (TBD)

**Background:** Privatization holds symbolic importance, as it represents the current Administration's commitment to ending the state-run economy. Although it is essential to consider political sensitivities and regulatory needs, this is a crucial time for the GON to act decisively and develop a track record of performance on such a crucial reform.

The current process, although demonstrating some success, is now encountering substantial delays. The desire by some minister to invest in parastatals ahead of privatization is calling the Government's commitment into question.

**Session Structure:**

-- Asiodu and El Rufai will open with a current status of privatization effort (10 minutes).

-- Larson will respond with perception of Nigeria's privatization program from abroad (5 minutes).

-- Larson asks El Rufai to list the top constraints to further progress on privatization.

-- Aukakh or Dickson-Horton elaborates on constraints to or problems with privatization. These include:

- Turf battles between line ministries and BPE (NEPA).
- Efforts to invest further in inefficient parastatals ahead of privatization (Nigeria Airways).
- Less than transparent bidding (Benue Cement).
- Insufficient participation by local population prevents local support for privatization (Northern Cement).
- General public mistrust and lack of understanding of the benefits of privatization.

-- Ensuing general discussion focuses on constraints by choosing a select number of issues from above and moderates various means of overcoming them. Discussion should focus on small number of cases for maximum impact.



*With Support from (as of Nov 21):*  
McDermott Inc, Africa ONE Ltd, and Allied International Marketing

**US-NIGERIA JOINT ECONOMIC PARTNERSHIP COMMITTEE (jepc)  
PRIVATE SECTOR SESSION**

Renaissance Mayflower Hotel  
1127 Connecticut Ave, NW  
Washington, D.C.

**TENTATIVE AGENDA**

**December 6, 2000**

**6:30-8:00pm: JEPC Reception**, hosted by the Corporate Council on Africa (CCA)

**December 7, 2000**

**Investment Forum**

**8:30am: Registration**

**9:00am: Welcome**, Ambassador Princeton Lyman, Chairman of the CCA Nigeria Working Group

**9:10-9:30am: Opening Plenary**, "Nigeria: The Case for Investment", Chief Philip Asiodu

**9:30-10:45am: Investment Roundtable**. Followed by Q&A.

Session I: Privatization: Mr. Nasir el-Rufai, DG of Bureau of Public Enterprises

Session II: Trade and Investment Environment – Perspective of Public Sector:

H.E. Engr Mustafa Bello, Minister of Commerce

Session III: Trade and Investment Environment – Perspective of Private Sector:

Mr. Bunmi Oni, Chairman, Nigeria Economic Summit Group (*invited*)

**10:45-11:00am: Coffee Break**

**11:00-12:30pm: Sector Breakout Sessions** (Co-chaired by American & Nigerian private sector reps)

*Sectors: Telecommunications, Energy and Power, Transportation and  
Infrastructure, Agriculture, and Small Business*

Sector presentations by senior Nigerian government officials

Sector presentations by Nigerian and American private sector reps (*invited*)

**12:45-2:00pm: Luncheon, Keynote Address: TBA**

**HIV/AIDS Forum**

**2:30-2:35pm: Welcome**, Mr. Joe Sills, Co-Chairman, CCA Task Force on AIDS in Africa, and  
former spokesman for UN Secretary General Boutros Boutros-Ghali

**2:35-2:45pm: Opening Remarks**, Mr. Maurice Tempelsman, Chairman, CCA Board of Directors, and  
Chairman, International Advisory Committee, Harvard AIDS Project

**2:45-3:30pm: The Nigerian Public Sector View of the Problem and its Affect on Nigeria** (presented by  
a senior Nigerian government official). Followed by Q&A

**3:30-4:15pm: The US Corporate View on AIDS in Africa**, presentation by three American

THE CORPORATE COUNCIL ON



corporations operating in Africa. Followed by Q&A

4:15-5:15pm: **Open Discussion**

5:15-5:30pm: **Summation/Adjournment**

**US-NIGERIA JOINT ECONOMIC PARTNERSHIP COMMITTEE (jepc)****PRIVATE SECTOR SESSION**

December 7, 2000

Mayflower Hotel

Washington, DC

At the request of the White House and the State Department, the Corporate Council on Africa will coordinate the private sector session of the 3<sup>rd</sup> round of the US-Nigeria JEPC, scheduled for December 7. The session will feature two key events: a Nigerian Investment Forum (morning) and an HIV/AIDS Forum (afternoon). The Council will also host a welcoming reception on the evening of December 6 and a luncheon on December 7.

The Nigerian Investment Forum is based on a model that has been successfully used this past year with other key African countries. The Forum model described herein is especially nearly identical in time and form to one used with Algeria. More than 100 US businesses attended this forum. We believe that this model will serve well the US-Nigerian dialogue.

**Nigeria Investment Forum:** The investment forum provides a platform for the Nigerian government and private sector groups, a platform in which they make the case for investment in Nigeria directly to a diverse and large American business audience. The forum will consist of three parts: an opening plenary presentation, an investment roundtable, and sector breakout session. It will focus on macro-economic policy issues, the status of key privatization initiatives, and appropriate commercial opportunities by sector. The forum will conclude with a lunch.

**Attendees:** It will be very important that the Nigerian government will bring a high-level delegation to Washington with economic/commercial expertise on key issues of investor interest. While the Nigerian government will select its delegation, we would suggest the following persons, at a minimum, accompany the delegation:

**Public Sector:** Chief Asiodu, Ministers of Finance, Commerce, Power and Steel, and Aviation as well as the Director General of the Bureau for Public Enterprises (BPE), the Chairman of the Nigerian Communications Commission (NCC), and senior officials from the National Electric Power Authority (NEPA) and the Nigerian Investment Promotion Commission (NIPC).

**Private Sector:** Chairman of the National Economic Summit Group, Chairman of the



Institute of Directors, senior officials from the Nigeria-US Chamber of Commerce, Manufacturers Association of Nigeria, as well as senior representatives of the private companies.

Here is a short description of the investment forum and what we expect to get out of it –

· *Opening Plenary Presentation:* Suggested title of "Nigeria: The Case for Investment", address the principal economic and commercial policies of the Obasanjo government, the key macro-economic and commercial challenges facing Nigeria, and the government's current and future programs/measures. This plenary sets the stage for the roundtable and breakout sessions.

· *Roundtable on the Nigerian Investment Environment:* The Investment Roundtable will focus on the major themes and components of the investment environment of interest to all current and potential investors. It will also outline the specifics and key timelines of the government's privatization program. The Roundtable will feature three individual presentations: one, status and future steps on privatization (preferably Nasir el-Rufai); two, the trade and investment environment from perspective of Nigerian government (preferably the NIPC's Chief Kola Daisi); and three, the trade and investment from the perspective of the Nigerian private sector (preferably the Chairman of the National Economic Summit Group, Buomi Oni).

· *Sector Breakout Sessions:* While the investment roundtable addresses issues of interests to all investors, the sector breakout sessions will describe the investment environment in key sectors and outline commercial opportunities in those sectors. The Sector Breakout Sessions will focus on telecommunications, energy and power, agribusiness, transportation, and small business.

Co-chaired by a Nigerian and American private sector representative, each breakout session will feature an opening presentation from a senior Nigerian government official and, if appropriate, private sector representatives, Q&A, and then an open discussion.

**Results of the Sector Breakout Sessions:** Nigeria suffers from an unfavorable to poor impression among the international investor community. Its problems, shortcomings, and obstacles are well-known and well-documented. Yet, it was not always this way. In the months after President Obasanjo's inauguration, hundreds of companies looked at Nigeria. A handful invested but most walked away. Of those who invested, some have achieved success but many have been burned. Today, the investor community has adopted a "wait and see" approach, awaiting major changes in the enabling environment and significant steps toward deregulation and privatization. Many others, however, have simply moved on. *With the exception of the oil and gas sector that holds considerable*



*promise of sizeable capital investment, without fundamental changes in Nigeria, there is very little chance of new investment in the other sectors.*

The burden to change this – and create “the economic democracy dividend”-- rests on Nigeria’s shoulders. In the breakout sessions, senior Nigerian officials will have an opportunity to meet with the American investor community in a small group setting and make the case for investment. The sessions will also permit the American investor community to query Nigerian officials on the current status and on specific government initiatives/measures.

We anticipate that the sector sessions will generate the following results:

- (1) updating the investor community on the government’s commitment to reforms and privatization and on sector commercial opportunities;
- (2) an open and serious discussion between investors and Nigerian officials on the investor environment;
- (3) networking opportunities;
- (4) development of a short list of steps the Nigerian government and/or the American business community can take in the short-term to address systematic shortfalls in the enabling environment and to move forward on investment in these key sectors. (time permitting)

**What CCA Needs from NSC/State:** to make this a success, we will require your assistance –

- Get the right Nigerian delegation to Washington. The success of the private sector session, both the investment and the HIV/AIDS fora will depend largely on the composition of the Nigerian delegation.
- Encourage the Nigerian government to view the investment forum as their event, their chance to make their case for investment.
- Make available senior Nigerian officials for the private sector session. Minimize other appointments on December 7.

Prepared by and CCA point of contact: Greg Saunders, Director of Policy and Services  
cc: Stephen Hayes, President



**THE CORPORATE COUNCIL ON AFRICA**  
and  
**THE NIGERIA WORKING GROUP**

cordially invite you to attend

**THE NIGERIA INVESTMENT FORUM**

**December 7, 2000**

**9:00am-2:00pm**

**The Renaissance Mayflower Hotel**

1127 Connecticut Ave, NW

Washington, DC

As part of the 3<sup>rd</sup> U.S.-Nigeria Joint Economic Partnership Committee (JEPC), the Corporate Council on Africa and its Nigeria Working Group will host an innovative Nigeria Investment Forum on Thursday, December 7, 2000. The Forum will bring together high-level Nigerian government officials and private sector representatives for presentations on the trade and investment environment, privatization, and commercial opportunities in key sectors. The Forum will conclude with a lunch featuring a prominent American economic official. *A Forum on HIV/AIDS in Nigeria will take place in the afternoon.*

The Nigeria Investment Forum will include:

- An Opening Plenary presentation by Chief Philip Asiodu, Chief Economic Advisor to the President.
- An Investment Roundtable with presentations on privatization by Nasir el-Rufai, Director General of the Bureau of Public Enterprises, the lead Nigerian official in charge of privatization; on the public sector perspective of the trade and investment environment by Engr. Mustafa Bello, Minister of Commerce; and on the private sector views of the trade and investment environment by Bunmi Oni, Chairman of the Nigeria Economic Summit Group.
- Sectors Breakout Sessions in telecommunications, energy and power, agribusiness, transportation and infrastructure, and small business. Co-Chaired by American and Nigerian private sector representatives, the breakout sessions will feature detailed presentations and commercial opportunities from senior Nigerian government officials and private sector representatives, followed by an open discussion.

In the afternoon, the Corporate Council will host an HIV/AIDS Forum during which senior Nigerian officials, designated U.S. government officials, and the Corporate Council's Task Force on AIDS in Africa will outline mutual issues and discuss relevant case studies. The Corporate Council will also host a welcoming reception in honor of the Nigerian delegation to the 3<sup>rd</sup> U.S.-Nigerian JEPC on the evening of December 6. Attendees are invited to attend the December 6<sup>th</sup>

THE CORPORATE COUNCIL ON



reception, and the December 7<sup>th</sup> Nigeria Investment Forum and HIV/AIDS Forum.

The Nigerian delegation is tentatively comprised of: Chief Asiodu, the Ministers of Finance, Commerce, Power and Steel; the Director General of the Bureau for Public Enterprises; the Chairman of the Nigerian Communications Commission; senior réps from the National Electric Power Authority and Nigerian Investment Promotion Commission; the Managing Director of Nigerian Airways; and Agriculture Ministry's Advisor of Food Security.

If you wish to attend or desire more information, please **RSVP** with Ingrid White **NLT Dec 4** via email at [iwhite@afriacncl.org](mailto:iwhite@afriacncl.org) or via fax at (202) 835-1117.

Name: \_\_\_\_\_ Title/Position: \_\_\_\_\_

Company: \_\_\_\_\_

Telephone and Fax: \_\_\_\_\_

Email: \_\_\_\_\_

Please indicate your Breakout Session Sector(s) of interest:

Telecommunications \_\_\_\_\_ Agribusiness \_\_\_\_\_  
 Energy and Power \_\_\_\_\_ Small Business \_\_\_\_\_  
 Transportation and Infrastructure \_\_\_\_\_

Please indicate the event(s) you wish to attend:

December 6 Reception \_\_\_\_\_  
 December 7 Investment Forum \_\_\_\_\_  
 December 7 Lunch \_\_\_\_\_  
 December 7 HIV/AIDS Forum \_\_\_\_\_

*Proudly Underwritten by (as of Nov 21):*

**Shell International Exploration and Production Inc.**  
**Goodworks International**

*Co-Sponsored by (as of Nov 21):*

**Chevron Corporation and HSBC Equator Bank**



---

**US-NIGERIA JOINT ECONOMIC PARTNERSHIP COMMITTEE (JEPC)****PRIVATE SECTOR SESSION****December 7, 2000****SECTOR:** Telecommunications**US CO-CHAIR:** TBD

**PURPOSE:** Nigeria suffers from an unfavorable to poor impression among the international investor community. Its problems, shortcomings, and obstacles are well known and well documented, particularly in the telecommunications and IT sector. This breakout sector session will provide an opportunity for Nigerian officials to describe in detail to a large and diverse American investor audience the government's policy framework and liberalization/privatization timetable, to update potential investors on current and planned reforms in the regulatory and investment environment in support of that framework, and to outline the framework in other areas such as IT infrastructure. The Nigerian officials will also have an opportunity to present commercial opportunities.

**LIKELY SUBJECTS TO BE DISCUSSED:**

- Telecom regulatory reforms and new developments in NCC;
- Privatization timetable/schedule and steps for M-Tel and NITEL;
- Government policy framework for attracting new investment;
- Commercial opportunities in telecommunications and IT infrastructure;
- American private sector suggestions on investment environment, policy framework, appropriate measures/steps in liberalization/privatization, commercial opportunities, etc.

**LIKELY OUTCOMES:**

We anticipate that the sector session will generate the following results:

- update the investor community on the government's policy telecom and IT framework, commitment to reforms and privatization, and on sector commercial opportunities;
- an open, serious discussion between investors and Nigerian officials on the telecom and IT investment environment;
- networking opportunities;
- if time permits, development of a short list of steps the Nigerian government and/or the American business community can take in the short-term to address systematic shortfalls in the enabling environment and to promote investment in these key sectors.



---

**US-NIGERIA JOINT ECONOMIC PARTNERSHIP COMMITTEE (JEPC)****PRIVATE SECTOR SESSION**

December 7, 2000

**SECTOR:** Energy and Power

**US CO-CHAIR:** TBD

**PURPOSE:** Energy remains and will remain the primary engine of economic growth, and the only sector that enjoys international investor interest. Yet, without rapid movement on deregulation/ privatization of both NEPA and the downstream oil market, Nigeria will continue to suffer from a poor enabling environment and further inhibit investment in other sectors. This breakout session will offer an opportunity for the Nigerian government to describe the investment environment in these sectors with an emphasis on power, to outline its plans and timetable for privatization of NEPA and the downstream oil market, key sectors and outline commercial opportunities in those sectors, to discuss government views regarding a national gas policy, and to present commercial opportunities.

**LIKELY SUBJECTS TO BE DISCUSSED:**

- Power and energy policy framework and current/planned regulatory reforms;
- Privatization schedule for NEPA, downstream refineries, distribution outlets, NNPC;
- Government policy framework for attracting new investment in power and energy including views on possible steps toward a national gas policy;
- Commercial opportunities in power and energy;
- American private sector suggestions on investment environment, policy framework, appropriate measures/steps in liberalization/privatization, commercial opportunities, etc.

**LIKELY OUTCOMES:**

We anticipate that the sector sessions will generate the following results:

- update the investor community on the government's commitment to reforms and privatization and on sector commercial opportunities;
- an open and serious discussion between investors and Nigerian officials on the energy and power investment environment;
- networking opportunities;
- if time permits, development of a short list of steps the Nigerian government and/or the American business community can take in the short-term to address systematic shortfalls in the enabling environment and to promote investment in these key sectors.

THE CORPORATE COUNCIL ON

**US-NIGERIA JOINT ECONOMIC PARTNERSHIP COMMITTEE (JEPC)****PRIVATE SECTOR SESSION**

December 7, 2000

**SECTOR:** Agriculture**US CO-CHAIR:** Gebreyes Begna, President, Allied International Marketing

**PURPOSE:** President Obasanjo has identified investment in the agribusiness sector as part of his food security initiative as fundamental to Nigeria's ability to address chronic underemployment, enhance food sufficiency, and reduce federal budget support for agriculture. The agriculture sector breakout session will provide the Nigerian government an opportunity to describe the agribusiness investment environment, to outline the government's measures to address and attract foreign investment, and to present viable commercial opportunities.

**LIKELY SUBJECTS TO BE DISCUSSED:**

- Government's policy framework and budget support in agribusiness sector;
- Current and planned agriculture reforms;
- Government policy framework for attracting new investment;
- Current and future commercial opportunities in all agribusiness areas;
- American private sector suggestions on investment environment, policy framework, appropriate measures/steps in liberalization/privatization, commercial opportunities, etc

**LIKELY OUTCOMES:**

We anticipate that the sector sessions will generate the following results:

- update the investor community on the government's commitment to reforms, level of government support to agribusiness, and sector commercial opportunities;
- an open and serious discussion between investors and Nigerian officials on the investor environment;
- networking opportunities;
- if time permits, development of a short list of steps the Nigerian government and/or the American business community can take in the short-term to address systematic shortfalls in the enabling environment and to promote investment in agriculture.

**US-NIGERIA JOINT ECONOMIC PARTNERSHIP COMMITTEE (JEPC)****PRIVATE SECTOR SESSION**

December 7, 2000

**SECTOR:** Transportation and Infrastructure**US CO-CHAIR:** TBD

**PURPOSE:** Nigeria's underperforming transportation sector and rapidly deteriorating infrastructure pose formidable obstacles to investment in nearly all sectors of the Nigerian economy. Both require considerable investment and are the focus of government economic reforms, privatization, and modernization. This breakout session will provide Nigerian officials with the opportunity to refer to the shortfalls in both sectors, government initiatives and programs to address the shortfalls, to outline the timetable on privatization, and to present viable commercial opportunities.

**LIKELY SUBJECTS TO BE DISCUSSED:**

- Government policy framework and priorities in transportation (airlines, ports, airports) and ground infrastructure networks (rail, roads, etc)
- Privatization timetable (Phase 2) for transportation companies (including Nigeria Airways)
- Government policy framework for attracting new investment
- Commercial opportunities in transportation and infrastructure
- American private sector suggestions on investment environment, policy framework, appropriate measures/steps in liberalization/privatization, commercial opportunities, etc

**LIKELY OUTCOMES:**

We anticipate that the sector sessions will generate the following results:

- update the investor community on the government's commitment to reforms and privatization and on sector commercial opportunities;
- an open and serious discussion between investors and Nigerian officials on the transportation and infrastructure investment environment;
- networking opportunities;
- if time permits, development of a short list of steps the Nigerian government and/or the American business community can take in the short-term to address systematic shortfalls in the enabling environment and to promote investment in these key sectors.

THE CORPORATE COUNCIL ON



---

**US-NIGERIA JOINT ECONOMIC PARTNERSHIP COMMITTEE (JEPC)**

**PRIVATE SECTOR SESSION**

December 7, 2000

**SECTOR:** Small Business (to be coordinated and implemented by SBA)

**US CO-CHAIR:** James Wilfong

**PURPOSE:** Planned, coordinated, and implemented by SBA, the small business breakout session will follow the outlines of its investment forum that took place in New York in early September in cooperation with the Nigeria Investment Promotion Commission. It will seek outline linkage and commercial opportunities for small to medium-sized businesses in Nigeria and the U.S., describe the investment climate for small businesses in Nigeria, and present SBA's programs for direct assistance to American companies.

**LIKELY SUBJECTS TO BE DISCUSSED:**

TBD by SBA

**LIKELY OUTCOMES:**

TBD by SBA

# Withdrawal/Redaction Marker

## Clinton Library

| DOCUMENT NO.<br>AND TYPE | SUBJECT/TITLE                                                         | DATE       | RESTRICTION |
|--------------------------|-----------------------------------------------------------------------|------------|-------------|
| 004. forms               | re: Seperation action [Personally Identifiable Information] (2 pages) | 01/19/2001 | b(6)        |

### COLLECTION:

Clinton Presidential Records  
National AIDS Policy Office  
Sandra Thurman  
OA/Box Number: 40014

### FOLDER TITLE:

Admin - Staff - Thurman, Sandra

2018-0764-F

jm1996

### RESTRICTION CODES

#### Presidential Records Act - [44 U.S.C. 2204(a)]

- P1 National Security Classified Information [(a)(1) of the PRA]
- P2 Relating to the appointment to Federal office [(a)(2) of the PRA]
- P3 Release would violate a Federal statute [(a)(3) of the PRA]
- P4 Release would disclose trade secrets or confidential commercial or financial information [(a)(4) of the PRA]
- P5 Release would disclose confidential advice between the President and his advisors, or between such advisors [(a)(5) of the PRA]
- P6 Release would constitute a clearly unwarranted invasion of personal privacy [(a)(6) of the PRA]

C. Closed in accordance with restrictions contained in donor's deed of gift.

PRM. Personal record misfile defined in accordance with 44 U.S.C. 2201(3).

RR. Document will be reviewed upon request.

#### Freedom of Information Act - [5 U.S.C. 552(b)]

- b(1) National security classified information [(b)(1) of the FOIA]
- b(2) Release would disclose internal personnel rules and practices of an agency [(b)(2) of the FOIA]
- b(3) Release would violate a Federal statute [(b)(3) of the FOIA]
- b(4) Release would disclose trade secrets or confidential or financial information [(b)(4) of the FOIA]
- b(6) Release would constitute a clearly unwarranted invasion of personal privacy [(b)(6) of the FOIA]
- b(7) Release would disclose information compiled for law enforcement purposes [(b)(7) of the FOIA]
- b(8) Release would disclose information concerning the regulation of financial institutions [(b)(8) of the FOIA]
- b(9) Release would disclose geological or geophysical information concerning wells [(b)(9) of the FOIA]