

information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract or the issuance of a license, grant or other benefit.

3. A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision in the matter.

4. A record from this system of records may be disclosed to an authorized appeal grievance examiner, formal complaints examiner, equal employment opportunity investigator, arbitrator or other duly authorized official engaged in investigation or settlement or a

grievance, complaint, or appeal filed by an employee. A record from this system of records may be disclosed to the United States Civil Service Commission in accordance with the agency's responsibility for evaluation and oversight of federal personnel management.

5. A record from this system of records may be disclosed to officers and employees of a federal agency for purposes of audit.

6. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

7. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving the individual when the individual is a constituent of the Member and has requested assistance from the Member with respect to the subject matter of the record.

DEPARTMENT OF DEFENSE
PRIVACY ACT OF 1974
Notice of Systems of Records

39677

In FR Doc. 75-21075 published in the FEDERAL REGISTER (40 FR 35151) of August 18, 1975 setting forth the systems of records prescribed by the Privacy Act of 1974 within the Department of Defense, the following systems of records were omitted due to oversight. Any public comments, including written data, views, or arguments concerning the following systems of records should be addressed to the system manager identified in each notice on or before September 29, 1975.

MAURICE W. ROCHE,

Director, Correspondence and Directives, OASD (Comptroller).

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

F17801 0J RS A

System name: 17801 0J RS A Recruiting Advertising Evaluation (RAE) System E806

System location: United States Air Force (USAF) Recruiting Service (RSASV), Randolph AFB, Tx 78148

Categories of individuals covered by the system: Respondents to USAF recruiting advertisements

Categories of records in the system: Respondents inquiry record containing name, Social Security number (SSN), address, date of birth, sex, telephone number advertising medium, recruiting program in which interested

Authority for maintenance of the system: Title 44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Provides a means for contractor (Dialogue Marketing INC., 1909 East Cornell, Peoria, IL 61614) to fulfill respondents request for information about the Air Force and to notify appropriate recruiters of respondents interest. Contractor creates weekly computer magnetic tapes containing respondents personal data which are forwarded to USAF Recruiting Service, Randolph AFB, Tx 78148. Recruiting Service develops statistics from the tapes provided to evaluate the effectiveness of the advertising program.

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

Storage: Maintained on computer magnetic tapes.

Retrievability: Filed by Name.

Filed by Social Security Account Number (SSAN).

Filed by other identification number or system identifier.

Safeguards: Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal: Retained on computer magnetic tapes for two calendar years at Randolph AFB, Tx 78148, Retained for 60 days at contractor and then destroyed. Retained at recruiting office until final followup action is completed.

System manager(s) and address: Director of Advertising, USAF Recruiting Service, Randolph AFB, Tx 78148.

Notification procedure: Requests from individuals should be addressed to the Systems Manager.

Record access procedures: Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures: The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories: Individual requests/responses from advertising public media.

Systems exempted from certain provisions of the act: NONE

F20002 05HCHLB

System name: 20002 05HCHLB DIA Source Administration Program for Foreign Intelligence Collection Activities

System location: 7602 AINTELG/INOB, Ft Belvoir, VA 22060 and subordinate units: Det 1, APO San Francisco 96525; Det 2, APO San Francisco 96301; Det 3, APO San Francisco 96280; Det 5, APO San Francisco 96346; Designation and location of one overseas unit is classified

Categories of individuals covered by the system: Air Force Reserve personnel.

Retired Air Force military personnel.

Foreign Nationals residing in the United States.

US Citizens, resident aliens, and foreign nationals overseas who are sources or support assets for foreign intelligence collection operations

Categories of records in the system: Biographic data and records incidental to utilization in foreign intelligence collection operations

Authority for maintenance of the system: National Security Act of 1947, Public Law 257, July 26, 1947 (61 Stat 495).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine internal reference relative to use or possible use in foreign intelligence collection operations

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

Storage: Maintained in file folders.

Maintained in note books/binders.

Maintained on computer paper printouts.

Maintained on roll microfilm.

Maintained on aperture cards.

Retrievability: Filed by other identification number or system identifier.

Safeguards: Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.

Records are stored in safes.

Retention and disposal: Prior to destruction, files are screened, purged of extraneous material, and microfilmed. Microfilm retained indefinitely.

System manager(s) and address: Assistant Chief of Staff, Intelligence, Headquarters United States Air Force.

Washington DC 20330

Notification procedure: See Exemption

Record access procedures: See Exemption

Contesting record procedures: The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories: See Exemption

Systems exempted from certain provisions of the act: Parts of this system may be exempt under 5 U.S.C. 522a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F53701 0BXQPCB

System name: 53701 0BXQPCB Air Force Academy Administrative Record

System location: At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system: Military personnel assigned instructor duty; AF Academy cadets; AF active duty officer personnel, Air Force active duty enlisted personnel; contracting officers and representatives; AF civilian employees.

Categories of records in the system: Biographical data on an individual's education and training experience, outgoing clearance to assist cadet in outprocessing from Academy; Survival Escape, Resistance and Evasion Training; student grade record; cadet automobile information; application for assignment to USAF Academy and substantiating documents; correction of telephone information; choir audition; involuntary dismissed cadets and cadets discharged from the AF Academy shipping items at government expense; substantiating documents to insure cadet store purchase over 25 dollars are for personal use or a bona fide gift and controlling restrictive purchases.

Authority for maintenance of the system: 10 USC 9331

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Identify personnel eligible for academic promotion used by faculty personnel; accomplish required outprocessing actions from AF Academy; record and evaluate a student's progress during training; provide supervisory personnel with immediate information concerning a cadet or his automobile; for review of officer applications for possible assignment to AF Academy; updating telephone directory; identify incoming 4th class cadets musical capabilities; establish record of military items turned in to liquidate their indebtedness and record of clearance articles shipped; insure cadet store purchases over 25 dollars are for personal use or gift and to record restricted purchases.

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

Storage: Maintained in file folders.

Maintained in note books/binders.

Maintained in card files.

Retrievability: Filed by Name.

Filed by Military Service Number.

Filed by other identification number or system identifier.

Safeguards: Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.

Records are stored in locked cabinets or rooms.

Retention and disposal: Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Retained in office files until graduation or elimination from training, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Retained in office files for six months after the individual terminates military service, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Retained in office files for three years after annual cutoff then destroyed; retained in office files until graduation or elimination from training, then transferred to the staging area, USAF Academy, CO 80840 for one additional year, then destroyed.

System manager(s) and address: Dean of Faculty; Commandant of Cadets' Cadet Chaplain; Communications Squadron.

Notification procedure: Requests from individuals should be addressed to the Systems Manager.

Record access procedures: Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures: The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories: Information obtained from educational institutions.

Cadet and agency processed through individual and grading official, officer application folder; comments from commandant and staff agencies; source documents; provided by individuals.

Systems exempted from certain provisions of the act: NONE

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

MAA00004

System name: Marine Corps Naval Aviator/Naval Flight Officer Qualification Jacket

System location: Command to which the individual is assigned.

Categories of individuals covered by the system: All active Marine Corps Aeronautically Designated Personnel (Naval Aviators/Naval Flight Officers).

Categories of records in the system: The qualification jacket contains information such as the individual's flight qualification record.

medical qualification correspondence, aircraft and course rules examinations, instrument and other NATOPS qualification records.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations. By officials and employees of the Marine Corps in connection with their assigned duties.

Department of Defense and its components. By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts. By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

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

Storage: Information is filed on paper records in file folders.

Retrievability: Qualification jackets are filed alphabetically by last name of individual concerned.

Safeguards: Organizations maintaining these jackets are secured during nonworking hours. Personnel handling records do so only on a 'need-to-know' basis.

Retention and disposal: The jacket is considered personal property of the individual concerned and is retained by same upon RELAD.

System manager(s) and address: The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure: Information may be obtained from the individual command to which an individual is assigned for duty. Addresses of individual commands are as listed in the Navy Standard Distribution List (OPNAV P09B3 107).

Record access procedures: Individuals may address requests to the commanding officer of the aviation unit to which they are assigned for duty. Addresses are shown in the Navy Standard Distribution List.

Contesting record procedures: The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories: The primary source is the individual, however the individual's commanding officer or the commanding officer's designated representative provides information into the system as the individual fulfills certain criteria.

Systems exempted from certain provisions of the act: None

MAA00005

System name: Flight Qualification Record

System location: Command to which the individual is assigned.

Categories of individuals covered by the system: All active Marine Corps Naval Aviators/Naval Flight Officers (Aeronautically Designated Personnel)

Categories of records in the system: The record contains information pertaining to the flight experience (by type aircraft) of the individual, his accident/incident history, medical qualification and instrument rating.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Headquarters Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in connection with their assigned duties.

Department of Defense and its components. By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

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

Storage: Information is filed on paper records in the individual's Officer's Qualification Record (Q&R) and Flight Qualification Jacket.

Retrievability: Records are filed alphabetically by last name of individual concerned.

Safeguards: Organizations maintaining these records are secured during non-working hours. Personnel handling records do so only on a 'need-to-know' basis.

Retention and disposal: The record is retained permanently in the Officer Qualification Record of the individual concerned and is retained by same upon RELAD.

System manager(s) and address: The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure: Information may be obtained from the individual command to which an individual is assigned for duty. Addresses of individual commands are as listed in the Navy Standard Distribution List (OPNAV P09B3-107).

Record access procedures: Individuals may address requests to the commanding officer of the aviation unit to which they are assigned for duty. Addresses are shown in the Navy Standard Distribution List.

Contesting record procedures: The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories: The primary source is the individual, however, the individual's commanding officer or the commanding officer's designated representative provides information into the system as the individual fulfills certain criteria.

Systems exempted from certain provisions of the act: None

MAA00006

System name: Permanent Record of Enlisted Flight Time

System location: Command to which the individual is assigned.

Categories of individuals covered by the system: All active Marine Corps Enlisted Aircrewmembers (non-rated)

Categories of records in the system: The record contains information pertaining to flight hours accomplished while serving under orders to duty in a flying status.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in connection with their assigned duties. Such duties include determination of entitlement to aviation career incentive pay pursuant to the Department of Defense Pay and Entitlement Manual.

Department of Defense and its components. By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

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

Storage: Information is filed on paper records in the Service Record Book (SRB) of the individual.

Retrievability: Subject records are filed alphabetically by last name of individual concerned.

Safeguards: Organizations maintaining these records are secured during nonworking hours. Personnel handling records do so only on a 'need-to-know' basis.

Retention and disposal: The records are permanently maintained in the individual's Service Record Book.

System manager(s) and address: The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure: Information may be obtained from the individual command to which an individual is assigned for duty. Addresses of individual commands are as listed in the Navy Standard Distribution List (OPNAV PO9B3-107).

Record access procedures: Individuals may address requests to the commanding officer of the aviation unit to which they are assigned for duty. Addresses are shown in the Navy Standard Distribution List.

Contesting record procedures: The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories: The information is obtained from flight performance data by the operations section of the organization providing flight support to the individual.

Systems exempted from certain provisions of the act: None

MAA00007

System name: Temporary Record of Enlisted Flight Time

System location: Command to which the individual is assigned.

Categories of individuals covered by the system: All active Marine Corps Enlisted Airmen (non-rated)

Categories of records in the system: The record contains information pertaining to flight hours accomplished while serving under orders to duty in a flying status.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in connection with their assigned duties. Such duties include determination of entitlement to aviation career incentive pay pursuant to the Department of Defense Pay and Entitlement Manual.

Department of Defense and its components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

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

Storage: Information is filed on paper records in the Service Record Book (SRB) of the individual.

Retrievability: Subject records are filed alphabetically by last name of individual concerned.

Safeguards: Organizations maintaining these records are secured during nonworking hours. Personnel handling records do so only on a 'need to know' basis.

Retention and disposal: The records are disposed of after the information is entered onto the permanent records within the individual's Service Record Book.

System manager(s) and address: The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure: Information may be obtained from the individual command to which an individual is assigned for duty. Addresses of individual commands are as listed in the Navy Standard Distribution List (OPNAV PO9B3-107).

Record access procedures: Individuals may address requests to the commanding officer of the aviation unit to which they are assigned for duty. Addresses are shown in the Navy Standard Distribution List.

Contesting record procedures: The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories: The information is obtained from flight performance data by the operations section of the organization providing flight support to the individual.

Systems exempted from certain provisions of the act: None

MAA00008

System name: Marine Corps Enlisted Airmen Qualification Jacket

System location: Command to which the individual is assigned.

Categories of individuals covered by the system: All active Marine Corps Enlisted (nonrated) Airmen

Categories of records in the system: The qualification jacket contains information such as the individual's flight qualification record, medical qualification correspondence, aircraft and course rules examinations, instrument and other NATOPS qualification records.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in connection with their assigned duties.

Department of Defense and its components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

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

Storage: Information is filed on paper records in file folders.

Retrievability: Qualification jackets are filed alphabetically by last name of individual concerned.

Safeguards: Organizations maintaining these jackets are secured during nonworking hours. Personnel handling records do so only on a 'need to know' basis.

Retention and disposal: The jacket is considered personal property of the individual concerned and is retained by same upon RELAD

System manager(s) and address: The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure: Information may be obtained from the individual command to which an individual is assigned for duty. Addresses of individual commands are as listed in the Navy Standard Distribution List (OPNAV PO9B3-107).

Record access procedures: Individuals may address requests to the commanding officer of the aviation unit to which they are assigned for duty. Addresses are shown in the Navy Standard Distribution List.

Contesting record procedures: The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories: The primary source is the individual, however the individual's commanding officer or the commanding officer's designated representative provides information into the system as the individual fulfills certain criteria.

Systems exempted from certain provisions of the act: None

MFD00008

System name: Civilian Labor Projection, Operations and Maintenance, MC Budget Report (Job Procedure 5576)

System location: Budget Branch, O,MC Budget Section (Code 462), Office of the Comptroller, Marine Corps Supply Activity, Philadelphia, PA 19146

Categories of individuals covered by the system: All civilians in pay status.

Categories of records in the system: Pay rates; scheduled within-grade increases, government portion of fringes.

Authority for maintenance of the system: MCO 7301.56D

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Budget, forecasting of civilian payroll needs for future time periods.

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

Storage: Computer Paper Printouts

Retrievability: Employee badge number within Activity code.

Safeguards: None

Retention and disposal: Perpetual; updated quarterly.

System manager(s) and address: Office of the Comptroller, Marine Corps Supply Activity, Philadelphia, PA 19146

Notification procedure: Information may be obtained from:

Commanding General (Code 400)

Marine Corps Supply Activity

Philadelphia, PA 19146

Record access procedures: Request from individuals should be addressed to: Commanding General (Code 400), Marine Corps Supply Activity, Philadelphia, PA 19146

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Civilian payrolls

Systems exempted from certain provisions of the act: None

MFD00009

System name: Pay Vouchers for Marine Corps Junior Reserve Officer Training Course Instructors

System location: All Marine Corps District Headquarters.

Categories of individuals covered by the system: Retired Marines in the Marine Corps Junior Reserve Officer Training Course Instructor Program.

Categories of records in the system: Files contain individual name, rank, social security number, unit to which assigned, requests for payment of salaries.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Marine Corps Junior Reserve Officer Training Course Officer and administrative and fiscal personnel for evaluation and processing for payment.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

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

Storage: Paper records in file folders stored in filing cabinets.

Retrievability: Alphabetically by last name, and school to which assigned.

Safeguards: Access limited to Marine Corps Junior Reserve Officer Training Course, administrative and fiscal personnel required

to process payment requests and payments. After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: Files are retained for three years and then destroyed.

System manager(s) and address: Marine Corps Junior Reserve Officer Training Course Officer Marine Corps Districts.

Notification procedure: Write or visit SYSMANAGER of Marine Corps District in which school is located. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and drivers license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures: The rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Senior Marine Instructor of Marine Corps Junior Reserve Training Course unit of which instructor is a member.

Systems exempted from certain provisions of the act: None

MFD00010

System name: Per Diem and Travel Payment System

System location: Primary System-Disbursing Offices, Marine Corps Posts and Stations

Categories of individuals covered by the system: All Marine Corps civilian and military personnel receiving travel advances or making settlement of travel claims to the local Disbursing Office.

Categories of records in the system: Completed travel claims with documentation cross-referenced to individuals.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Marine Corps disbursing employees for cross-reference between individual and disbursement of funds for reimbursement in the performance of official travel.

Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in matters regarding their assigned duties.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch Agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

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

Storage: Card file.

Retrievability: Employee name, social security number or badge number.

Safeguards: Card file is maintained and used by specific clerks within travel section of the Disbursing Office. After working hours, office is locked in a building with controlled access by armed guards.

Retention and disposal: Data is maintained until individual departs the area and all travel advances have been settled.

System manager(s) and address: Disbursing Officer

Notification procedure: Information may be obtained from:

Disbursing Offices, Marine Corps Posts and Stations

Record access procedures: Signed written requests should contain the full name of the individual and social security number or badge number and addressed to the address listed under NOTIFICATION above.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Travel orders and disbursing documents.

Systems exempted from certain provisions of the act: None

MIL00002

System name: Bachelor Housing Registration Records System

System location: Each Bachelor Officer Quarters/Bachelor Staff Quarters (BOQ/BSQ) assigned registration responsibilities.

Categories of individuals covered by the system: Military and civilian personnel who are current and former residents of BOQ's and BSQ's.

Categories of records in the system: Contains personal identifying information, arrival/departure dates; type of orders; monetary allowance information; BOQ/BSQ and room identification.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose is to provide adequate records for management of Bachelor housing. Used by office personnel to maintain a record of occupancy. By auditors to verify occupancy. By other military and DOD officials when required in the execution of their official duties.

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

Storage: Paper cards, file folders, status boards, etc.

Retrievability: Alphabetically by name and social security number.

Safeguards: Stored in locked office during nonworking hours or when office is not manned. Access on a need to know basis only for official purposes.

Retention and disposal: Retained for four years; then destroyed.

System manager(s) and address: Decentralized. The local commander is responsible for management of BOQ's and BSQ's.

Notification procedure: Requests shall be addressed to the SYSMANAGER Requestor must be able to provide appropriate identifying information.

Record access procedures: Rules for access may be obtained from the SYSMANAGER

Contesting record procedures: Rules for contesting contents may be obtained from the SYSMANAGER.

Record source categories: BOQ/BSQ office personnel and information from individual who fills out registration card.

Systems exempted from certain provisions of the act: None

MIL00003

System name: Laundry Charge Accounts Records

System location: Marine Corps activities with laundry facilities.

Categories of individuals covered by the system: Individuals who have applied for Laundry charge accounts.

Categories of records in the system: Name, rank, unit, social security number, quarters address and telephone number, date and ticket number of laundry service and amount charged.

Authority for maintenance of the system: Title 5, U S Code 301

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

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

Storage: In paper records in file folders.

Retrievability: By name.

Safeguards: Records are maintained in locked filing cabinets within locked offices of buildings. Records are accessible only to persons whose performance require it.

Retention and disposal: Five years and then destroy.

System manager(s) and address: Decentralized. Laundry charge accounts managed under the Commanding General of each activity which has a laundry.

Notification procedure: Correspondence pertaining to records maintained by the laundry. Contact the Commanding General of the Marine Corps activity in question.

Record access procedures: Information may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Individuals

Systems exempted from certain provisions of the act: None

MIL00004

System name: Personal Property Program

System location: All Marine Corps Bases and Federal Record Centers

Categories of individuals covered by the system: All military personnel having shipped or stored personal property or privately owned automobiles.

Categories of records in the system: File contains individual's applications for shipment and/or storage, related shipping documents and records of delivery and payment.

DD 619 (Statement of Accessorial Services Performed)

DD 828 (Motor Vehicle Shipment Application)

DD1100 (Household Goods Storage Record)

DD1101 (Household Goods Storage information)

DD1252 (Owner's U S Customs Declaration and Entry and

Inspecting Officer's Certificate)

DD1299 (Application for shipment and/or storage of Personal

Property)

DD1671 (Rework of Household Goods)

DD1780 (Report of Carrier Services Personal Property

Shipment)

DD1781 (Property Owners Report on Carriers Report)

DD1797 (Personal Property Counseling Checklist)

DD1799 (Member's report on Carrier Performance - Mobile

Homes)

DD1800 (Mobile Home Shipment Inspection at Destination)

DD1841 (Schedule of Property Damages)

DD1842 (Claim for Personal Property against the United

States)

DD1845 (Demand on Carrier/Contractor)

Authority for maintenance of the system: DOD Regulation 4500.34 'Personal Property Traffic Management Regulation'

JAG Manual

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Traffic Management Offices and applicable Finance Center for effecting, coordinating and payment of personal property shipment and storage.

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

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by last name of member.

Safeguards: Records are maintained in areas accessible only to authorized personnel that are properly cleared and trained

Retention and disposal: Records are permanent. They are retained in active file until end of calendar year in which transaction was effected, held additionally in inactive file indefinitely.

System manager(s) and address: Assistant Secretary of Defense (Installations and Logistics (ASD (I&L)) Washington, D C

Notification procedure: Information may be obtained from:

Commandant of the Marine Corps (Code LFS-2)

Headquarters, U S Marine Corps

Washington, D C 20380

Telephone: 224-1067

Record access procedures: Request from individuals should be addressed to Commandant of the Marine Corps (LFS-2), Headquarters, U S Marine Corps, Washington, D C 20380.

Written request for information should contain the full name of individual, SSN, current address and telephone number.

For personal visits, the individual should be able to provide acceptable identification and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Application and related forms from the individual requesting access; notification of personal clearance from the SYSMANAGER research note/documents from records custodians.

Systems exempted from certain provisions of the act: None

MIL00005

System name: Passenger Transportation Program

System location: All Marine Corps Bases

Categories of individuals covered by the system: Military personnel and their dependents, DOD civilian employees and their dependents, and other individuals furnished transportation via commercial transportation resources and Department of Defense single manager transportation resources.

Categories of records in the system: File contains copies of passenger transportation procurement documents issued, copies of official travel orders supporting the issuances; applications for transportation of dependents, port call requests and confirmations; copies of endorsements to orders indicating transportation issuances; requests and authorizations for space available MAC transportation.

SF 1169 United States of America Transportation Request

DD 652 Uniformed Services Meal Ticket

DD 884 Application for Transportation for Dependents

DD 1287 Request for Commercial Transportation

DD 1341 Report of Commercial Carrier Passenger Service

DD 1482 Military Airlift Command (MAC) Transportation

Authorization.

Authority for maintenance of the system: MCO P4600.14A (joint) Military Traffic Management Regulation (Promulgates policy and procedures applicable to performance of traffic management functions within the CONUS)

DOD 4515.13-R Air Transportation Eligibility (Policy and procedures applicable to movement via DOD owned and controlled airlift)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Traffic Management Offices and Applicable Finance Center for effecting coordination and payment of passenger transportation charges by commercial transportation and Military Airlift Command (MAC) resources.

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

Storage: Paper records in file folders.

Retrievability: Passenger Transportation Procurement documents filed by serial number preprinted on the documents.

Other documents filed in alphabetical order by last name of member.

Safeguards: Records are maintained in areas accessible only to authorized personnel that are properly cleared and trained.

Retention and disposal: Copies of transportation procurement documents held by issuing office for period of 4 years, after which they are destroyed. Other records retained in active fields until end of calendar year in which transaction was effected, held additionally in inactive file indefinitely.

System manager(s) and address: Commander, Military Traffic Management Command, Washington, D C (Travel via commercial transportation within CONUS)

Commander, Military Airlift Command, Scott AFB, IL (International travel via DOD owned and controlled airlift)

Notification procedure: Information may be obtained from:

Commandant of the Marine Corps (Code LFS-2)

Headquarters, U S Marine Corps

Washington, D C 20380

Telephone 224-1781

Record access procedures: Request from individuals should be addressed to Commandant of the Marine Corps, (Code LFS-2), Headquarters, U S Marine Corps, Washington, D C 20380

Written request for information should contain the full name of the individual, SSN, current address and telephone number.

For personal visits, the individual should be able to provide acceptable identification and give some verbal information relating to commercial transportation furnished or Military Airlift Command (MAC) transportation arrangements on a space required or space available basis.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individuals concerned may be obtained from the SYSMANAGER.

Record source categories: Application and related forms from the individual requesting access; notification of personal clearance from the SYSMANAGER research notes/documents from records custodians.

Systems exempted from certain provisions of the act: None

MIL00006

System name: Dealer's Record of Sale of Rifle or Pistol, State of California

System location: Each Marine Corps Activity in California

Categories of individuals covered by the system: Authorized Marine Corps Exchange patrons who purchase a rifle or pistol from the Exchange.

Categories of records in the system: Individual identifying information including height, weight, color of hair and eyes, if purchaser is a citizen, if the purchaser has been convicted of a felony, or if the purchaser is addicted to use of narcotics, the individual's occupation, and descent.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Marine Corps Exchange personnel for record keeping purposes, one copy is sent to the State of California in Sacramento, California and to the local Sheriff's office.

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

Storage: In paper records in file folders.

Retrievability: By name

Safeguards: Records are maintained in locked filing cabinets within locked offices of buildings. Records are accessible only to authorized personnel only.

Retention and disposal: Records are maintained for five years and then destroyed.

System manager(s) and address: Decentralized. System managed by local commanders.

Notification procedure: Correspondence pertaining to records maintained by local commands may be addressed to the Commanding Officer of the activity concerned.

Record access procedures: Information may be obtained from the SYSMANAGER

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Individuals

Systems exempted from certain provisions of the act: None

MIL00007

System name: Marine Corps Exchange Service Station Work Orders

System location: Marine Corps Supply Center, Barstow, California 92311

Categories of individuals covered by the system: Authorized Marine Corps Exchange patrons who avail themselves of automobile servicing.

Categories of records in the system: Individual identifying information, vehicle description, speedometer reading.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Marine Corps Exchange service station personnel for normal business purposes.

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

Storage: In paper records in file folders.

Retrievability: By name

Safeguards: Records are maintained in locked filing cabinets within locked offices of buildings. Records are accessible only to persons whose performance require it.

Retention and disposal: Work orders are retained for one year and then destroyed.

System manager(s) and address: Commanding General, Marine Corps Supply Center, Barstow, California 92311

Notification procedure: Correspondence pertaining to records maintained by the Commanding General, Marine Corps Supply Center, Barstow, should be addressed to:

Commanding General
Marine Corps Supply Center
Barstow, California 92311
Telephone: Area Code 714/577-6555

Record access procedures: Information may be obtained from SYSMANAGER

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Individuals

Systems exempted from certain provisions of the act: None

MIL00008

System name: Cigarettes Sales Abuse File

System location: Marine Corps Exchange, Headquarters Battalion (Code 200), Marine Corps Supply Activity, Phila., Pa. 19146

Categories of individuals covered by the system: Records cigarette purchases by PX patrons who are buying large quantities of cigarettes over a period of time.

Categories of records in the system: Contains name, social security number and record of amount of cigarettes purchased, date and sales person's initials.

Authority for maintenance of the system: Local SOP

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Available to determine a pattern of abuse of cigarette exchange privileges. Available to Exchange Officer, adjutant, Headquarters Battalion, Marine Corps Supply Activity, Phila. Pa., state investigative officials.

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

Storage: Index cards in file folders.

Retrievability: By name

Safeguards: Only one copy made and maintained in Exchange records.

Retention and disposal: Six months

System manager(s) and address: Exchange Officer, Headquarters Battalion (Code 200), Marine Corps Supply Activity, Phila., Pa. 19146

Notification procedure: Information may be obtained from;

Exchange Officer, Marine Corps Exchange 2 21
Marine Corps Supply Activity
Phila., Pa. 19146

Record access procedures: Individual requests should be addressed to: Commanding Officer, Headquarters Battalion (Code 200), Marine Corps Supply Activity, Phila., Pa. 19146

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Marine Corps Exchange sales personnel

Systems exempted from certain provisions of the act: None

MIL00009

System name: Fire Arms Transaction Record

System location: Marine Corps Activities with Exchanges selling fire arms

Categories of individuals covered by the system: Authorized Marine Corps Exchange patrons who purchase fire arms from the Exchange.

Categories of records in the system: Individual identifying information, including age, height, weight, date and place of birth, race, description of fire arm, certificate by individual that he has never been convicted of a felony, that he is not a fugitive from justice, not addicted to the use of drugs, not adjudicated to be a mental defective or committed to a mental institution, that he's not been discharged from the armed forces under dishonorable conditions, that he is not an illegal alien and that he hasn't renounced his citizenship. Information from documents used to provide individual's identification.

Authority for maintenance of the system: Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Marine Corps Exchange personnel for record keeping purposes, and a copy is sent to the local law enforcement personnel for their information.

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

Storage: In paper records in file folders

Retrievability: By name

Safeguards: Records are maintained in locked filing cabinets within locked offices of buildings. Records are accessible only to authorized personnel only

Retention and disposal: Records are maintained for five years and then destroyed.

System manager(s) and address: Decentralized system managed by local Commanders.

Notification procedure: Correspondence pertaining to records maintained by local Commands may be addressed to the Commanding Officer of the activity in question.

Record access procedures: Information may be obtained from SYSMANAGER

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

MIL00010

System name: Customer Service Records/Special Accounts

System location: Local Marine Corps Exchange Office

Categories of individuals covered by the system: The contents of these files are a compilation of all records required in the administration of special accounts.

Categories of records in the system: Records are manually prepared files containing data used in accounting for merchandise not normally in stock and has been ordered by authorized patrons or deferred payment plans.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by management and clerical personnel for normal business purposes including accounting for sales and inventory control.

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

Storage: In paper records in file folders.

Retrievability: Filed alphabetically by patron's last name

Safeguards: Records are maintained in locked filing cabinets within locked offices of buildings. Records are accessible to authorized personnel only.

Retention and disposal: Records are maintained for five years and then destroyed.

System manager(s) and address: Decentralized System managed by local Commanders.

Notification procedure: Correspondence pertaining to records maintained by local commands may be addressed to the Commanding Officer of the activity in question

Record access procedures: Information may be obtained from SYSMANAGER

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Individuals.

Systems exempted from certain provisions of the act: None.

MIL00011

System name: MDSVEN Vendor Directory

System location: Electronic Data Processing Center, Marine Corps Base, Camp Pendleton, California 92055

Purchasing Activity, Marine Corps Exchange 10-2, Marine

Corps Recruit Depot, San Diego, California 92140

Accounting Activity, Marine Corps Exchange 10-2, Marine

Corps Recruit Depot, San Diego, California 92140

Categories of individuals covered by the system: All vendors' names and addresses actively engaged in business with Marine Corps Exchange 10-2

Categories of records in the system: File contains vendor names and addresses; freight information, delivery and discount terms for remittance and payment

Authority for maintenance of the system: Title 10, U. S. Code 7601

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Purchasing Activity - To obtain addresses for ordering, freight and delivery information, discount terms, etc.; required for entry on Purchase Orders

Accounting Activity - To obtain billing and remittance addresses

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

Storage: Mechanized print-outs and computer discettes

Retrievability: Filed in computer and/or discettes by permanently assigned 6 digit file numbers

Safeguards: Records are maintained in areas accessible only to authorized personnel on a need-to-know basis.

Retention and disposal: Records are permanent; updated as necessary. Held until vendor is no longer actively engaged in business with Exchange 10-2, then record is eliminated and/or cleaned off diskette.

System manager(s) and address: The Manager, Electronic Data Processing Center, Building 15100, Marine Corps Exchange Service, Marine Corps Base, Camp Pendleton, California 92055

The Exchange Officer, Marine Corps Exchange 10-2, Marine Corps Recruit Depot, San Diego, California 92140

Notification procedure: Information may be obtained from above listed SYSMANAGERS

Record access procedures: Information may be obtained by contacting SYSMANAGERS at addresses listed above.

Requests should contain the full name of the requester and the basis of the request.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained by contacting the SYSMANAGER.

Record source categories: Notification from applicable vendors, correspondence and agreements originating between vendor and Exchange Procurement Activity.

Systems exempted from certain provisions of the act: None

MIL00012

System name: Standard Licensing Procedures For Operators of Military Motor Vehicles

System location: All Marine Corps motor vehicle licensing facilities.

Categories of individuals covered by the system: Military and DOD civilian employees required to operate a government-owned/or controlled motor vehicle including nonappropriated fund vehicles.

Categories of records in the system: Files contain information on each individual's driving experience, who applies for a Government Operators Permit to include traffic accidents involved in, any refusal, suspension or revocation of State Operator's License; all violations of traffic regulations (other than overtime parking) for which he has been found guilty, misrepresentation or failure to report these, and results of physical examinations.

DD Form 1360 - Operators Qualifications and Record of Licensing, Examination and Performance

NAVFAC 9-11240/10 - Application for Motor Vehicle Operators Permit

SF 47 - Physical Fitness Inquiry for Motor Vehicle Operators

NAVFAC 9-11240/11 - Checklist and Scoresheet for Road Test in Traffic

SF 46 - U S Government Motor Vehicle Operator's Identification Card

Dot Form HS 1047 - Request for Search of National Drivers Register

Dot Form 1054 - Report of Inquiry Searched

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Motor vehicles licensing procedures used to determine the qualification of personnel requesting motor vehicle operator's ID cards

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

Storage: Paper records in file folders.

Retrievability: Filed in alphabetical order by last name of applicant

Safeguards: Records are maintained in areas accessible only to authorized personnel

Retention and disposal: Copies are normally held for 3 years and are then destroyed.

System manager(s) and address: Deputy Chief of Staff for Installations and Logistics, Headquarters, U S Marine Corps, Washington, D C

Notification procedure: Information may be obtained from:

Headquarters, U S Marine Corps (Code LME)

Room 400

Commonwealth Building

Arlington, VA 22209

Telephone: Area Code 202/695-3460

Record access procedures: Requests from individuals should be addressed to Commandant of the Marine Corps (Code LME), Headquarters, U S Marine Corps, Washington, D C 20380.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Individual information is taken from NAVMC 10964, Licensing application.

Systems exempted from certain provisions of the act: None

MIL00013

System name: Individual Uniform Clothing Records

System location: All Marine Corps activities, but records limited to individuals having received clothing through that activity.

Categories of individuals covered by the system: Personnel of the Marine Corps, Marine Corps Reserve, Navy Corpsmen authorized to wear Marine Corps uniforms, candidates of officer procurement programs of the Marine Corps (including Marine option NROTC), former Marines authorized to purchase Marine Corps uniforms from Marine Corps clothing stocks.

Categories of records in the system: Files contain listings of individual uniform clothing issued in-kind and clothing sold to individuals on a cash basis, mail-order basis or pay checkage basis.

NAVMC 604 - Individual Clothing Requisition and Issue Slip (Men's)

NAVMC 604b - Individual Clothing Requisition and Issue Slip (Women's)

NAVMC 604a - Transmittal of Clothing Issue Slips

NAVMC 10710 - Men's Individual Clothing Request

NAVMC 10711 - Women's Individual Clothing Request

NAVMC 631 - Individual Clothing Record (Men's)

NAVMC 631a - Individual Clothing Record (Women's)

DD Form 358 - Special Measurement Blank - Clothing - Men's

DD Form 1111 - Armed Forces Measurement Blank - Special Sized Clothing - Women's

DD Form 150 - Special Measurement Blank for Special Measurement/ Orthopedic Boots and Shoes

DD Form 1348 - DOD Single Line Item Requisition System Document (Manual)

SF 344 - GSA Multi-use Standard Requisitioning/Issue System Document

Naval messages/speedletters when used in lieu of routine

MILSTRIP procedures.

Authority for maintenance of the system: Executive Order 10113 of 24 February 1950

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To substantiate supply accounting records for clothing issued or sold from Marine Corps stocks to individuals, and when sales are made on a pay checkage basis, to substantiate pay checkage action under the Joint Uniform Military Pay System (JUMPS)

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

Storage: Paper records in file folders

Retrievability: May be filed for retrieval by either name or SSN, or when used as a substantiating document for issues/sales at a retail clothing outlet, files are primarily in transaction document number sequence.

Safeguards: Records are maintained in areas accessible only to authorized personnel.

Retention and disposal: Three years when used to substantiate issues under the clothing Monetary Allowance System.

As required when used to substantiate financial/pay checkage transactions.

Until individual uniform clothing items issued in kind to members of the Marine Corps Reserve are recovered upon separation.

Three years following detachment from duty for which an issue of supplementary uniforms was authorized.

System manager(s) and address: Deputy Chief of Staff for Installations and Logistics, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure: Information may be obtained from:

Commandant of the Marine Corps (Code LMP)

Room 378

Commonwealth Building

Arlington, Virginia 22209

Telephone Area Code: 202/694-1775

Information required from requester:

Full name

SSN

Military status

Current address

Specifics of information desired

Record access procedures: Requests from individuals should be addressed to: Commandant of the Marine Corps (Code LMP), Headquarters, U S Marine Corps, Washington, D C 20380

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual information, Joint Uniform Military Pay System/ Manpower Management System (JUMPS/MMS).

Systems exempted from certain provisions of the act: None

MIL00014

System name: Exchange Privilege Authorization Log

System location: Organized Marine Corps Reserve units.

Categories of individuals covered by the system: Any member of the Organized Marine Corps Reserve unit who becomes eligible for exchange privileges as a result of attending drills with that unit in accordance with current regulations.

Categories of records in the system: Log contains a list by name of individuals who are issued exchange privilege authorization letters. The list is maintained on a quarterly basis.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: By the Commanding Officer/Inspector-Instructor of Reserve Units to keep a record of personnel who were authorized to use the exchange during each fiscal quarter. Exchange personnel - letters are utilized to verify authority of Reserve to utilize exchange services.

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

Storage: Papers bound log book on paper - letters issued to individual Reserves.

Retrievability: Alphabetically by last name for each fiscal quarter. Personnel who join during the quarter are added to the list as they become eligible for exchange privileges.

Safeguards: The log is maintained in an area accessible only to authorized personnel. This area is locked during non-working hours.

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: The log will be destroyed one year from the end of the calendar year for which entries are made.

System manager(s) and address: Inspector-Instructor of Organized Marine Corps Reserve unit.

Notification procedure: Write or visit SYSMANAGER. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and drivers license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Monthly drill attendance records of Organized Marine Corps Reserve unit.

Systems exempted from certain provisions of the act: None

MIL00015

System name: Housing Referral Services Records System

System location: All Marine Corps installations with housing referral offices.

Categories of individuals covered by the system: All military personnel reporting to an installation who will be residing off base desirous of seeking off base housing.

Categories of records in the system: Information is collected on DD Form 1668 from all military personnel reporting to a housing referral office as pertains to name, grade, branch of service, organization and location, local address, housing needs, e.g. rental/sale, number of bedrooms, furnished/unfurnished, price range, etc., number of dependents, male or female, and age. A list of housing referral services provided and identification of member of racial or ethnic minority groups. Individuals provided referral assistance must in turn provide notification of housing selection by use of DD Form 1670 which includes such information as type of housing selected, e.g., location, temporary/permanent, rental/sale, cost, number of bedrooms, media through which housing was found, e.g., housing referral, realtor, newspaper, etc., and satisfaction with selection, e.g., too small, too far, discrimination encountered, and satisfaction with housing referral services provided.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral offices use data to assist and counsel individuals in locating suitable housing off base, used for follow-up purposes when written notification from individual is not provided as to ultimate location of housing, used for purposes of reporting statistics on field activity housing referral services, used to follow up on availability of rental unit subsequent to occupant's receipt of PCS orders, and follow up regarding tenant/landlord complaints.

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

Storage: File folders

Retrievability: By individual's name.

Safeguards: Housing files within the housing referral or housing office, used solely within the housing organization and protected by military installation's security measures. Individual may upon request, have access to all such data.

Retention and disposal: Data is retained until individual's tour is completed and subsequently disposed of according to local records disposition instructions.

System manager(s) and address: Commandant of the Marine Corps (Code LFF-3), Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure: Records are maintained by housing referral offices at the Marine Corps activity responsible for providing referral services for military personnel in the area. Individual may request access to records upon proof of identity (ID card).

Record access procedures: The agency's rules for access to records may be obtained from installation family housing office.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the installation family housing office.

Record source categories: Data collected from each applicable individual.

Systems exempted from certain provisions of the act: None

MIL00016

System name: Depot Maintenance Management Subsystem (DMMS)

System location:

Marine Corps Supply Center, Albany, Georgia

Marine Corps Supply Center, Barstow, California

Categories of individuals covered by the system: Any military or civilian employee of USMC Depot Maintenance Activities

Categories of records in the system: System contains individual's Personal History File, Labor Distribution Reports, Time and Attendance Reports and Payroll Reports

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Marine Corps Supply Centers - To provide payroll support and cost accounting

Congress of the United States

Naval Audit Service - To obtain audit trails for cost accounting

DOD Departments and agencies

USMC staff agencies and commands - To review cost accounting and financial management procedures, to monitor labor distribution Federal, state, and local tax agencies

General Accounting Office

Treasury Department

Department of Justice

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

Storage: Computer magnetic tapes and disks, computer paper printouts and microfiche.

Retrievability: Filed by employee badge number

Safeguards: Buildings have security personnel. Records are maintained in areas accessible to authorized personnel that are properly screened.

Retention and disposal: Records are maintained until end of calendar year in which employee has worked. At the end of one year, the computer magnetic tapes and disks are erased and paper printouts are destroyed by shredding. Microfiche is destroyed by burning.

System manager(s) and address:

Commandant of the Marine Corps (Code LMM),

Headquarters, U S Marine Corps, Washington, D C 20380

Director, DMA, Marine Corps Supply Center, Albany, Georgia

Director, DMA, Marine Corps Supply Center, Barstow, California

Notification procedure: Information may be obtained from:

Commandant of the Marine Corps (Code LMM),

Headquarters, U S Marine Corps Washington, D C 20380

CG, Marine Corps Supply Center (A300), Albany, Georgia

31704

CG, Marine Corps Supply Center, (B300), Barstow, California 92311

Record access procedures: Requests from individuals should be addressed to the Commanding General, Marine Corps Supply Center (A300), Albany, Georgia 31704 or Commanding General, Marine Corps Supply Center, (B300), Barstow, California 92311.

Written requests for information should contain the full name of the individual, current address, telephone number.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, social security card, etc.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Automated system interfaces

Application and related forms from the individual requesting employment.

Systems exempted from certain provisions of the act: None

MIL00017

System name: Transportation Data Financial Management System (TDFMS)

System location: Primary System: Commanding General, Marine Corps Supply Center (Code A470), Albany, Georgia 31704

Categories of individuals covered by the system: All Marine Corps active duty, reserve, and retired personnel, federal Civil Service employees of the Marine Corps and their dependents.

Categories of records in the system: The TDFMS Master Files consist of a complete automated record for all Marine Corps active duty, reserve and retired personnel, federal Civil Service employees of the Marine Corps and their dependents concerning the movement of household goods, personal effects and passenger or personnel transportation by rail, bus, air or other means involving expenditures of Marine Corps funds.

Authority for maintenance of the system: Title 37, U S Code/Title 10, U S Code and Marine Corps Orders within the 4600 Series.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Headquarters, U S Marine Corps, Marine Corps activities for analysis and research for budget forecasting; audit, verification, certification of O&MMC, Stock Fund, Reserve, Procurement, MPMC expenditure of Marine Corps funds; identifying movement of material by weight, commodity within areas by FY historical data of commodity movements, related cost, budget forecasting, validation, and special studies.

Marine Corps Supply Center to monitor and certify for payment transportation charges concerning the movement of personal property and personnel and to initiate collection/reimbursement action for cost incurred that exceeds entitlements.

Department of Defense and its components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch Agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - The Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the Files.

The Comptroller General of the U S - By the Comptroller or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

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

Storage: Computer magnetic tapes and discs, computer printouts, microfiche and microfilm.

Retrievability: Information is accessed and retrieved by name, social security number, etc. Conventional and computerized indices are required to retrieve individual records from the system.

Safeguards: Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal: Records are maintained until statute of limitations has expired and/or litigation is concluded.

System manager(s) and address: The Commandant of the Marine Corps (Code LFS), Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure: Information may be obtained from:

Commanding General (Code A470)

Marine Corps Supply Center

Albany, Georgia 31704

Telephone: Area Code 912/439-5674/5675/5676/5677

Record access procedures: Written requests from individuals should be addressed to the address listed under the heading LOCATION.

Written requests for information should contain social security number, full name and current address, Government Bill of Lading number (if known), date of shipment or move of household goods.

For personal visits, the individual should be able to provide positive personal identification, such as valid military identification card, drivers license, etc.

Contesting record procedures: The rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Government and commercial carriers.

Installation Transportation Officers.

Authorized order writing activities.

Paying or disbursing officers.

Marine Corps Manpower Management System

Systems exempted from certain provisions of the act: None

MIL00018

System name: Organization Clothing Control File

System location: Depot Property Control Branch, Marine Corps Recruit Depots

Categories of individuals covered by the system: Drill Instructors, Marksmanship Instructors, Women Marine Special Subject Instructors and Band members.

Categories of records in the system: Combined Individual Clothing Requisition and Issue Slip NAVMC 604 Form.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To maintain records of organizational clothing issued to authorized personnel until items have been returned.

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

Storage: Paper records in file folders

Retrievability: Filed alphabetically by last name of Marine concerned.

Safeguards: Records are maintained in filing cabinet in a locked building.

Retention and disposal: Records are maintained until items of organizational clothing are returned.

System manager(s) and address: Commanding General, Marine Corps Recruit Depot

Notification procedure: Information may be obtained from:

Depot Supply Officer

Depot Service and Supply Department

Marine Corps Recruit Depot

Parris Island, South Carolina 29905 or San Diego, California

92140

Record access procedures: Requests from individuals should be addressed to: Depot Supply Officer, Depot Services and Supply Department, Marine Corps Recruit Depot, Parris Island, SC 29905 or San Diego, CA 92140.

Written requests for information should contain the full name, social security number and current address of the individual concerned.

For personal visits, the individual should be able to provide a military identification card.

Contesting record procedures: The Depot's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Provided by the authorized individual's request NAVMC 604 to be issued items of Organizational Clothing.

Systems exempted from certain provisions of the act: None

MIL00019

System name: Equipment and Weapons Receipt or Custody Files

System location: System is decentralized. Records are maintained at Marine Corps commands, organizations, or activities that issue said equipment or weapons.

Categories of individuals covered by the system: System contains name, rank, social security number, unit address, and date.

Categories of records in the system: This file contains name, rank, social security number, itemized list of equipment issued, date issued, and possibly unit and section/Department to which assigned.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This system is used to identify individuals who have Government property in their possession.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

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

Storage: Paper records in binder, file folder, box, vertical card file, or index cards.

Retrievability: Records are filed alphabetically by name.

Safeguards: After working hours, the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: These records are destroyed upon the return of the property listed.

System manager(s) and address: Commanding Officer of the activity.

Notification procedure: Write or visit SYSMANAGER Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD 214 and drivers license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Information is entered by visual certification of property, issued and identification presented by individual.

Systems exempted from certain provisions of the act: None

MIN00001

System name: Personnel Security Eligibility and Access Information System

System location: Primary system - Headquarters, U S Marine Corps, Washington, D C 20380.

Secondary system: Local activity to which individual is assigned (See List of Marine Corps Activities, MCO P5400.6—).

Categories of individuals covered by the system: Members of the U S Marine Corps and Marine Corps Reserve, former members, applicants for enlistment or commissioning, Marine Corps civilian employees, and other persons whose status or position effects the security, order, or discipline of the Marine Corps.

Categories of records in the system: Files contain reports of personnel security investigations, criminal investigations, counterintelligence investigations, correspondence, records and information pertinent to an individual's acceptance and retention, personnel security clearance and access, assignment to personnel reliability programs and other high risk or compartmented information programs requiring personnel quality control.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Officials and employees of the U S Marine Corps in the performance of their official duties related to personnel security eligibility and access.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office.

Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement or other matters under the jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

State and local government agencies in the performance of their official duties.

Officials and employees of the Department of the Navy in the performance of their official duties.

Official employees of the Department of Defense in the performance of their official duties.

Officials and employees of other agencies of the Executive Branch of the government, upon request, in the performance of their official duties.

Senate or the House of Representatives of the United States or any committee or subcommittee thereof, requiring disclosure of the files or records of individuals covered by this system.

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

Storage: Paper records in file folders and index cards. Some information contained in automated files or on computer tapes.

Retrievability: Filed alphabetically by last name of individual or by social security number.

Safeguards: Stored in locked safes or cabinets. File areas are accessible only to authorized persons who are properly screened, cleared, and trained.

Retention and disposal: Records and portions thereof vary in period of time retained. Records are retained and disposed of in accordance with Department regulations.

System manager(s) and address: Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure: Requests by correspondence should be addressed to Commandant of the Marine Corps (Attn: Privacy Act Coordinator), Headquarters, U S Marine Corps, Washington, D C 20380 or in accordance with the list of Marine Corps activities. The

letter should contain full name, social security number, rank/rate/civilian status address and notarized signature of the requester. The individual may visit Headquarters, U S Marine Corps, Arlington Annex (FOB 2), Washington, D. C. for assistance with records located in that building or any Marine Corps activity for access to locally maintained records. Prior written notification of personal visits are required to ensure that all parts of the records will be available at the time of the visit. Proof of identity will be required and will consist of a military identification card, driver's license or similar picture-bearing identification.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Officials and employees of the U S Marine Corps, Departments of the Navy and Defense and other departments and agencies of the Executive Branch of government, and components thereof, in performance of their official duties and as specified by current instructions and regulations promulgated by competent authority. Civilian and military investigative reports. Federal, state and local court documents. Fingerprint cards. Official correspondence concerning individual.

Systems exempted from certain provisions of the act: Parts of this system may be exempt under Title 5, U S Code 552 (j) or (k), as applicable. For additional information contact the SYSMANAGER.

MJA00001

System name: Business Complaint File

System location: Tri-Command Legal Assistance Office, Marine Corps Base, Camp Lejeune, North Carolina 28542.

Categories of individuals covered by the system: Businesses which have generated complaints by clients at Legal Assistance Office.

Categories of records in the system: Affidavits of individuals involved in incidents which give rise to such complaints.

Authority for maintenance of the system: Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Legal Assistance Officers to resolve problem locally or forwarded to the North Carolina Attorney General's Office and/or Armed Forces Disciplinary Control Board as appropriate for settlement of complaint.

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

Storage: Paper records in file folders.

Retrievability: Arranged by type business and alphabetically by name of business within types. Requires conventional indices for retrievability.

Safeguards: Maintained in locked building.

Retention and disposal: Maintained locally so long as file is active, or two years if inactive. Not transferred. Destroyed by discard in military trash system.

System manager(s) and address: Commanding General (Attn: Tri-Command Legal), Marine Corps Base, Camp Lejeune, North Carolina 28542. Telephone: Area Code 919/451-3218.

Notification procedure: Requests for information should be addressed to the Systems Manager. Requester may also visit office. Military ID card or other suitable identification will be required.

Record access procedures: Rules for access may be obtained from the SYSMANAGER

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Individual complainants.

Systems exempted from certain provisions of the act: None

MJA00002

System name: Staff Judge Advocate Working Papers

System location: Commanding General, Marine Corps Development and Education Command, Marine Corps Base, Quantico, Virginia 22134

Categories of individuals covered by the system: Persons appealing Article 15 punishment and traffic court rulings; persons referred to a court-martial; persons awaiting special and general court-martial;

persons confined at the Correctional Facility in excess of 30 days; lawyers assigned to be on call for a given period; officers punished under Article 15, UCMJ; and persons selected to sit as members of a court-martial.

Categories of records in the system: File contains information relating to nonjudicial punishment appeals, the reason for the appeal and the response of the officer appealed; traffic court appeals; counsel assignments to individual referred to a court-martial; weekly case listings including type of offense, counsel assigned and dates pertaining to each case; excess 30 day pretrial confinement letters including the approval/disapproval by the CG for extending the period of confinement; duty lawyer roster; officers' punishments including offense, punishment and statement of desire to appeal or not; weekly docket list; and court-martial members questionnaire including age, duty assignment, summary of past duties, marital status, children, and matters pertaining to past schooling and assignments.

Authority for maintenance of the system: Title 10, U. S. Code 801, et. seq.; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Staff Judge Advocates Office, Marine Corps Development and Education Command - to prepare SJA's advice to officer appealed to in appeals of nonjudicial punishments; to monitor the fairness of traffic court proceedings; to determine which counsel is assigned to each court-martial case; to inform members of MCDEC with a need to know the status of individual court-martial cases; to expedite cases where individuals have been confined in excess of 30 days; to provide a list of duty counsels for Base security organizations; to keep track of the status of pending cases; and to determine which persons selected to sit as members of a court-martial counsel may wish to challenge.

Marine Corps Commands - by officials and employees of the Marine Corps in the execution of their official duties.

Department of Defense and its Components - by officials and employees of the Department in the performance of their official duties.

The Attorney General of the U. S. - by officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - by officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U.S. - by the Senate or the House of Representatives of the U.S. or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files of the system.

The Comptroller General of the U.S. - by the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office.

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

Storage: File folders and card files.

Retrievability: Alphabetically

Safeguards: Kept behind locked doors with security guard in building at night.

Retention and disposal: Most records are retained for two years. Duty lawyer rosters and weekly docket lists are retained for one year. All records are destroyed at the end of the retention period.

System manager(s) and address: Commanding General, Marine Corps Development and Education Command.

Notification procedure: Information may be obtained from:

Commanding General
Marine Corps Development and Education Command (Code B 052)
Marine Corps Base
Quantico, Virginia 22134
Telephone: Area Code 703/640-2776

Record access procedures: Requests from an individual may be addressed to: Commanding General, Marine Corps Development and Education Command (Code B 052), Marine Corps Base, Quantico, Virginia 22134.

Written request for information should contain the full name and grade of the individual.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individuals

Systems exempted from certain provisions of the act: None

MJA00003

System name: Magistrate Court Case Files

System location: Office of the Staff Judge Advocate, Building 14, Marine Corps Base, Camp Lejeune, North Carolina 28542

Categories of individuals covered by the system: Civilians pending and tried by the assigned Federal magistrate for crimes committed on military reservation at Camp Lejeune, North Carolina 28542.

Categories of records in the system: Investigative reports, complaints, summons and warrants.

Authority for maintenance of the system: Title 18, U S Code 3041; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Military Prosecutor for preparation of cases for trial by military prosecutor.

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

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by name. Conventional indices are required for retrieval.

Safeguards: Maintained in file cabinet in locked building.

Retention and disposal: Retained and destroyed in accordance with SECNAVINST 5212.5B.

System manager(s) and address: Commanding General (Attn: SJA), Marine Corps Base, Camp Lejeune, North Carolina; Telephone: Area Code 919/451-5177.

Notification procedure: Individual is personally served with a subpoena and is shown the file. Requires name for entry.

Record access procedures: Contact SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Law enforcement reports, bad check transmittal letters from Government agencies.

Systems exempted from certain provisions of the act: None

MJA00004

System name: In Hands of Civil Authorities Case File

System location: Base Adjutant's Office, Marine Corps Base, Camp Lejeune, North Carolina.

Categories of individuals covered by the system: All military personnel who are in hands of civil authorities or have charges pending against them by civil authorities.

Categories of records in the system: Civil court documents, advice to respondent, health statements/ certificates and supporting documents pertaining to individual's status.

Authority for maintenance of the system: Title 10, U S Code 814; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Working file utilized in administrative processing of individuals in hands of civil authorities. Used by command personnel in the execution of their official duties in processing individual for report of misconduct and discharge proceedings in accordance with Marine Corps Separation Manual.

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

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by last name of individual by calendar year in which processing is completed.

Safeguards: Records are stored in metal file cabinets in Base Adjutant's office in Building 1, where full-time security is maintained during off-duty hours. Accessible only to authorized personnel in the execution of their official duties.

Retention and disposal: On discharged personnel, record incorporated into administrative discharge file. Others retained for two years after completion of calendar year in which processed, then

destroyed in accordance with the Navy and Marine Corps Records Disposal Manual.

System manager(s) and address: Commanding General (Attn: Adf), Marine Corps Base, Camp Lejeune, North Carolina 28542. Telephone: AC919/451-2414.

Notification procedure: Requests should be addressed to the SYSMANAGER. Requester must be able to provide satisfactory identifying information.

Record access procedures: Rules for access may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Service records, health records, civil court documents, law enforcement personnel and various DOD Agencies.

Systems exempted from certain provisions of the act: None

MJA00005

System name: Financial Assistance/Indebtedness Files

System location: Adjutant's Office, Marine Corps Base, Camp Lejeune, North Carolina.

Categories of individuals covered by the system: Marines identified as owing debts and/or having dependents requiring financial aid.

Categories of records in the system: File contains name, rank, social security number, military occupational specialty, component, marital and dependency status and supporting documents pertaining to indebtedness and/or financial assistance required.

Authority for maintenance of the system: Title 10, U. S. Code; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Working file once inquiry initiated. Used by command personnel in the execution of their official duties of processing inquiry. Once processing is completed, record is filed in command office of record official correspondence file.

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

Storage: Paper records in file folders.

Retrievability: Chronologically by date of response.

Safeguards: File accessible only to authorized personnel in the execution of their official duties. Maintained in locked building with full time duty personnel present during non-working hours.

Retention and disposal: Retained for two years and disposed of in accordance with Navy Marine Corps Records Disposal Instructions.

System manager(s) and address: Commanding General (Attn: Adjutant), Marine Corps Base, Camp Lejeune, North Carolina 28542. Telephone: Area Code 919/451-2414.

Notification procedure: Requests should be addressed to the SYSMANAGER. Requester must be able to provide satisfactory identifying information.

Record access procedures: Rules for access may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Previous and current commanders, private individuals and agencies.

Systems exempted from certain provisions of the act: None

MJA00006

System name: 2nd Marine Aircraft Wing General Correspondence Files for Legal Administration

System location: Office of the Wing Staff Judge Advocate, 2nd Marine Aircraft Wing, Cherry Point, North Carolina 28533

Categories of individuals covered by the system: File contains information on individuals who have appealed nonjudicial punishment, individuals who have been recommended for administrative discharge whose cases have been reviewed by Staff Judge Advocate, individuals who have been served with civil process, correspondence from civilian and military agencies, or persons requesting assistance in the completion of legal related problems on

individuals. Individuals is defined to mean military personnel assigned to 2nd Marine Aircraft Wing.

Categories of records in the system: Files contain the name, rank, social security number, unit, and all data applicable to a person's appeal of nonjudicial punishment, the Staff Judge Advocate's review of administrative discharge recommendations, copies of process served on military personnel by civilian authorities, and correspondence relating to information in the files.

Authority for maintenance of the system: Title 5, U. S. Code 301; Title 10, U. S. Code 801 et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Staff Judge Advocate, 2nd Marine Aircraft Wing and his representatives in the execution of assigned duties.

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

Storage: Paper records in file folders.

Retrievability: Files are filed alphabetically.

Safeguards: Files are maintained in file cabinets within locked office space during nonworking hours.

Duty personnel perform security checks throughout the building during nonworking hours.

During working hours assigned office personnel are within the immediate area of the files.

Retention and disposal: Files are maintained two years from the date of final action.

System manager(s) and address: Staff Judge Advocate, 2nd Marine Aircraft Wing, Marine Corps Air Station, Cherry Point, North Carolina 28533

Notification procedure: Information may be obtained from:

Staff Judge Advocate

Staff Code 17

Marine Corps Air Station

Cherry Point, North Carolina 28533

Telephone: 919/466-2444

Record access procedures: Request from individuals should be addressed to: Staff Judge Advocate Staff Code 17, Marine Corps Air Station, Cherry Point, North Carolina 28533

Written requests for information should contain the full name of the individual, social security number, and reason for requesting the information.

For personal visits the individual must be either in appropriate uniform or present adequate identification.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individuals

Service record book

Medical Records

Investigative files of CID, NIS, FBI, Military Commands.

Systems exempted from certain provisions of the act: None

MJA00007

System name: Delivery Agreement

System location: All Marine Corps Activities at Legal Office or Office of the Staff Judge Advocate

Categories of individuals covered by the system: Marines arrested under criminal warrant by civilian authorities

Categories of records in the system: Written agreement releasing the Marine to civilian authorities. Form contains the nature of the civilian charges for which the Marine is being arrested

Authority for maintenance of the system: Title 10, U. S. Code 814; Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Notification to activity that one of its members has been arrested by civilian authorities and also notifying the activity of the nature of the charges. This form also notifies the peace officer involved of his obligations to transport the military individual from and back to the military installation.

Basis for preparing requisite personnel records necessitated by arrest and taking personnel actions occasioned thereby.

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

Storage: File folders in respective case record Staff Judge Advocate Office

Retrievability: Alphabetical

Safeguards: Limited number are distributed and all are considered FOR OFFICIAL USE ONLY

Retention and disposal: 2 years

System manager(s) and address: Staff Judge Advocate/Legal Officer, Local Marine Corps Activity

Notification procedure: Information may be obtained from:

Staff Judge Advocate/Legal Officer

Local Marine Corps Activity

If local activity concerned is not known, contact the Director, Judge Advocate Division, Headquarters, U. S. Marine Corps, Washington, D. C. 20380

Record access procedures: Requests should be addressed to the Legal Office/Office of Staff Judge Advocate, Local Marine Corps Activity

Contesting record procedures: The SYSMANAGER should be contacted for rules governing individual cases

Record source categories: Warrant for arrest presented by arresting civil authority

Systems exempted from certain provisions of the act: None

MJA00008

System name: Letters of Indebtedness/Credit Inquiry

System location: Headquarters Battalion (Code 200), Marine Corps Supply Activity, Philadelphia, Pennsylvania 19146

Categories of individuals covered by the system: File on all Marines who receive letters of indebtedness

Categories of records in the system: All correspondence and findings pertaining to the letter in question.

Authority for maintenance of the system: Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Maintain a record of credit inquiries and alleged letters of indebtedness received from various firms and individuals, to conduct an investigation to determine validity prior to taking final action. Available to Personnel Officer, Legal Officer, and Commanding Officer, Headquarters Battalion.

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

Storage: Individual file folders

Retrievability: By name and date

Safeguards: Maintained in Headquarters files

Retention and disposal: One year

System manager(s) and address: Command Adjutant (Code 200), Marine Corps Supply Activity, Philadelphia, Pennsylvania 19146

Notification procedure: Information may be obtained from:

Commanding Officer, Headquarters Battalion (Code 200)

Marine Corps Supply Activity

Philadelphia, Pennsylvania 19146

Record access procedures: Requests from individuals should be addressed to: Commanding Officer, Headquarters Battalion (Code 200), Marine Corps Supply Activity, Philadelphia, Pennsylvania 19146

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Complainant, other investigating officials and individual concerned

Systems exempted from certain provisions of the act: None

MJA00009

System name: Marine Corps Command Legal Files

System location: All Marine Corps commands whose commander has the authority to convene a special court-martial (See Title 10, U. S. Code 826 and List of Activities in the Directory of Department of the Navy Activities).

Categories of individuals covered by the system: Civilian employees of the Department of Defense or guests who have visited Marine Corps installations who have allegedly committed criminal offenses aboard a military installation or whose conduct has been subject to investigation.

Any Marine or Navy service member who is the subject of the disciplinary action under the provisions of the Uniform Code of Military Justice (Title 10, U S Code 801, et. seq.); who has been the subject of administrative discharge action pursuant to the provisions of Marine Corps Order P1900.16—; or who has been the subject of an investigation (JAG Manual investigations) convened pursuant to the provisions of the Uniform Code of Military Justice or the Manual of the Judge Advocate General (JAG Instruction 5800.7—) or any other type of investigation or inquiry.

Categories of records in the system: Records of disciplinary proceedings, including courts-martial records and records of non-judicial punishments with supporting documents, military justice management information pre-post trial (e.g., courts-martial docketing logs, reports of cases tried, etc.), pre-disciplinary inquiries and investigations and documentation pertaining to post-hearing/trial review, clemency action, appellate leave or other personnel action related to or resulting from courts-martial, JAG Manual investigations pertaining to claims, line of duty misconduct determinations, command irregularities, and unusual incidents or accidents with supporting documentation and post-investigation review and actions. Inquiries made into incidents or situations which result in disbarment of an individual or firm from entry upon a military installation, referral to base traffic court or civilian, federal, state or local judicial or law enforcement authorities. Recommendations for administrative discharge with supporting documentation, including records of any hearing held and any review or other action taken with respect to the discharge recommendations.

Authority for maintenance of the system: Title 5, U S Code 301; Title 10, U S Code 801, et. seq.; Title 18, U S Code 382

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Serves as a command historical file

In the case of courts-martial records serves as a public record. Serves as the basis for taking appropriate action with respect to incidents which have been investigated or have been the subject of disciplinary action.

Serves as a source of information for military, federal other law enforcement authorities for taking action.

Serves as a management system for the military justice activities. Members of Congress, officials of the Department of Defense, civilian law enforcement officials, General Accounting Office, other federal state or local agencies in the execution of their official duties in relation to inspections, investigations, legal action and administrative action.

Serves as a source from which information is provided to host foreign country officials re criminal activities by American nationals in foreign countries.

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

Storage: Paper records in file folders.

Retrievability: Files by name of service member involved or chronologically with cross-reference to individual involved.

Safeguards: Records are kept in either locked cabinets or guarded or locked buildings.

Retention and disposal: Two years or as provided in the Manual of the Judge Advocate General (JAG Instruction 5800.7—).

System manager(s) and address: Commanding officer of the unit concerned. See Directory of Department of the Navy Activities for addresses. If unit not known, information may be obtained from Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure: Write or visit SYSMANAGER. If unit concerned cannot be determined, information may be sought from Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380. Provide full name, social security number and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for contest may be obtained from the SYSMANAGER.

Record source categories: Individual concerned, witnesses to the incident in question or parties concerned therewith, officer investigating the incident, documents or items of real evidence, documents pertaining to the review, action or authorities charged with making a review or taking action.

Systems exempted from certain provisions of the act: None

MJA00010

System name: Unit Punishment Book

System location: All U S Marine Corps and U S Marine Corps Reserve units, whose commander has nonjudicial punishment authority (See 10, U S Code 815)

Categories of individuals covered by the system: Any enlisted Marine who is charged with a violation of the Uniform Code of Military Justice.

Categories of records in the system: File contains name, rank, social security number, military occupational specialty and unit of the individual, brief summary of the alleged offense including date, time and place. Acknowledgement of rights under Article 31, Uniform Code of Military Justice, and right to demand trial by Courts-Martial by the individual, record of specific punishment awarded or remarks as to disposition of charge. If punishment was awarded the individual will also acknowledge, in writing, his right to appeal.

Authority for maintenance of the system: Title 10, U S Code 815; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Referral sheet for evaluation of conduct. To provide a command historical record of nonjudicial punishments. To complete statistics on disciplinary trends. Officials and employees of the Naval Service, Department of Defense, members of congress and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

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

Storage: Paper records in loose leaf binder.

Retrievability: Alphabetically by last name and by year.

Safeguards: Access limited to those with a need-to-know. Records kept in a locked cabinet or in a room which is locked.

Retention and disposal: 3 years, destroyed by burning at end of period.

System manager(s) and address: Unit Commanders of U S Marine Corps or U S Marine Reserve units authorized to administer nonjudicial punishment.

Notification procedure: Write or visit SYSMANAGER. If imposing punishment cannot be determined, information may be sought from Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD 214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Verbal or written charge from individual subject to Uniform Code of Military Justice. Service record book of individual, Nonjudicial punishment hearing.

Systems exempted from certain provisions of the act: None

MJA00011

System name: Delinquent Mail Order Account System

System location: Women's Clothing Outlet, Depot Service and Supply Department, Marine Corps Recruit Depot, Parris Island, South Carolina 29905

On accounts delinquent in excess of ninety days to Headquarters, U S Marine Corps (Code JAM) Collection Agent

Categories of individuals covered by the system: Any Woman Marine who purchases clothing until payment has been completed or payment is delinquent in excess of ninety days.

Categories of records in the system: File contains information extracted from the Women's Individual Clothing Request (NAVMC 10711)

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To ensure prompt payment of Mail Order Clothing

To establish delinquent account follow-up

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

Storage: Records maintained in computer for a period of ninety days after date of shipment. Record then passed to Headquarters, U S Marine Corps (Code JAM).

Retrievability: Bill number

Individual's name

Safeguards: Records maintained in computer and can only be requested by authorized personnel.

Retention and disposal: Records are maintained until payment completed but not to exceed a ninety day period after date of shipment. Then by Headquarters, U S Marine Corps (Code JAM) until indebtedness is satisfied.

System manager(s) and address: Commanding General, Marine Corps Recruit Depot, Parris Island, South Carolina. 29905

Notification procedure: Information may be obtained from:

Women Marine's Clothing Outlet
Depot Service and Supply Department
Marine Corps Recruit Depot
Parris Island, South Carolina 29905

Record access procedures: Written requests for information should contain the full name of the individual, social security number, current address.

For personal visits, the individual should be able to provide a military identification card.

Contesting record procedures: The Department's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual submits mail order for articles of uniform clothing, provides name, SSN, mail address, item of clothing desired.

Systems exempted from certain provisions of the act: None

MJA00012

System name: Individual Accounts of Mail Order Clothing (bill file)

System location: Clothing Section (MAU), Direct Support Stock Control Branch, Materiel Division, Marine Corps Supply Center, Albany, Georgia 31704

Categories of individuals covered by the system: File pertains to all Marine Corps personnel, active, reserve and retired who have a requirement and are authorized clothing, textiles and other related supplies.

Categories of records in the system: Record includes individual's name, rank, SSN, military address, bill number, dollar amount of the shipment, shipping date and zip code.

Authority for maintenance of the system: NAVCOMPT Manual, Part C, Collection and Reporting of Debts Due the United States.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Marine Corps Supply Center, Albany, Georgia. To facilitate in a mechanized atmosphere the collection of information necessary to provide the capability of continued follow up on funds owed and due the U S Government through daily billing, cross referencing and processing of mail order clothing individual accounts.

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

Storage: Data is stored on magnetic tapes and computer paper printouts.

Retrievability: Data can be retrieved by account number, name and social security number.

Safeguards: Computer printouts and source documents are retained in a single office accessible only to authorized personnel. Employees are properly trained in safeguarding information of a personal nature.

Retention and disposal: Computer records are retained until the bills are satisfied. Computer printouts and source documents are retained for a period of five years. Destruction of records is by mutilation.

System manager(s) and address: Commanding General, Marine Corps Supply Center, Albany, Georgia 31704.

Notification procedure: Information may be obtained from:

Clothing Section (MAU), Direct Support Stock Control
Branch, Materiel Division
Marine Corps Supply Center

Albany, Georgia 31704

Telephone: Area Code 912/439 5837

Record access procedures: Written requests from individuals should be addressed to Clothing Section (MAU), Direct Stock Control Branch, Materiel Division, Marine Corps Supply Center, Albany, Georgia 31704.

Contesting record procedures: The agency's rules for access to records, contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Accounting records of the Clothing Section, Direct Support Stock Control Branch, Marine Corps Supply Center, Albany, Georgia, supplemented with information from the employing activity of the individual.

Systems exempted from certain provisions of the act: None

MJA00013

System name: Dishonored Personal Check Records and Withdrawal of Check Cashing Privileges Lists

System location: Each Appropriated and Non-Appropriated Fund Activity having authority to accept personal checks from authorized patrons. Located at Headquarters, U S Marine Corps and each major Marine Corps installation listed in MCO P5400.6G.

Categories of individuals covered by the system: All military personnel, active and retired; their authorized dependents and dependents of deceased military retirees; Marine Corps Exchange employees.

Categories of records in the system: File Bulletins containing name, rank, social security number and expiration date of restriction of privileges and related correspondence.

Authority for maintenance of the system: Title 5, U S Code 301; Title 18, U S Code 13; Title 10, U S Code 801, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose is to protect the activity from unnecessary losses and advise Commanders when a bad check offense has been committed by a patron. Used by Marine Corps employees tasked with verifying the information and authorized to cash checks as part of their official duties. Used also to notify Commanders of their personnel who have cashed bad checks. Used by Commanders to take action (administrative or criminal) deemed necessary in the exercise of their official responsibilities. Information there from may be provided to federal, state or local law enforcement agencies.

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

Storage: Stored in Rolodex or other appropriate file in check cashing area. Published Bulletin is stored in directives system of organizations.

Retrievability: Alphabetical by name and social security number.

Safeguards: Access limited. Secured in locked building during nonworking hours.

Retention and disposal: Destroyed when privileges are restored at the expiration of specified periods made known to the individual at the time privileges are revoked.

System manager(s) and address: Commanding Officer of activity concerned. See Directory of Department of the Navy Mailing Addresses.

Notification procedure: Inquire in person at the individual check cashing activity or to the SYSMANAGER.

Record access procedures: Rules for access can be provided by the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Bad checks returned from the bank; notification from other Commands, Federal Bureau of Investigation, Naval Investigative Service or other state, local or Federal investigative agencies or Treasury Department.

Systems exempted from certain provisions of the act: None

MMC00001

System name: Psychiatry Case Files

System location: Division Psychiatry, Bldg 430, 2d Marine Division, FMF, Camp Lejeune, North Carolina 28542

Categories of individuals covered by the system: Files contain information concerning military personnel who are seeking assistance with psychological and physiological problems.

Categories of records in the system: File contains personal identification data, subject's current status, parent command and other information necessary to monitor, control, and identify the subject individual. File may contain notification from parent command or higher authority of member's present status, notification of custody from civilian authorities, personal history data received from military and civilian agencies, medical and financial data on kin of individual received from military and civilian agencies, information from private citizens, and records of civilian charges against or civil or criminal court proceedings concerning the individual or his kin. File contains electronically transmitted messages which also reflect dates relative to current status, present location, extent of involvement with civil authorities if applicable, source of information, requests for guards, instructions on administrative processing, estimated date and time of arrival at parent unit, whether considered dangerous or not, additional notes obtained telephonically, copies of stragglers orders, copies of correspondence/messages relating to the case; other service records.

Authority for maintenance of the system: Manual of Medical Department, USN, 16/18

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Division Psychiatrist in connection with physiological and psychological problems.

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

Storage: File Folder Case Files

Retrievability: Files by name, month, year (75)

Safeguards: Files are maintained in area accessible only to authorized personnel that are properly screened and cleared.

Retention and disposal: Two (2) years and then destroyed.

System manager(s) and address: Division Psychiatrist, 2d Marine Division, FMF, Camp Lejeune, North Carolina 28542.

Notification procedure: Information may be obtained from:

Human Affairs, AC/S

2d Marine Division, FMF

Camp Lejeune, North Carolina 28542

Telephone area code 919/451-1954

Record access procedures: Requests for information should contain full name of the individual, SSN, current address, and phone number.

For personal visits, suitable proof of identification is required. No information will be released outside the Department of Defense without the consent of the individual involved.

Contesting record procedures: The rules and procedures for access to records may be obtained from the SYSMANAGER

Record source categories: Individual counseling sessions

Systems exempted from certain provisions of the act: Much of the material contained within these case files is of such a delicate nature that disclosure could result in adverse reactions in many instances.

MMC00002

System name: Working Files, Inspection Division, Headquarters, U S Marine Corps

System location: Headquarters, U S Marine Corps, Washington, D C 20380

Categories of individuals covered by the system: Members of the U S Marine Corps and Marine Corps Reserve; former members of the Marine Corps and Marine Corps Reserve; retired and temporarily retired members of the Marine Corps and Marine Corps Reserve; and members of the Fleet Marine Corps Reserve.

Military personnel

Dependents of Marines and other family members with respect to matters pertaining to the individual Marine or former Marine.

Categories of records in the system: File contains information pertaining to identification, recruitment, enlistment, prior service, assignment, location addresses, promotions, reductions in rank, performance of duty, discipline, offenses and punishments under the Uniform Code of Military Justice, courts-martial, personal history, investigations, police and court records, civil arrests and convictions, official correspondence (includes internal Marine Corps and Department of the Navy correspondence, as well as correspon-

dence with the Executive and Legislative branches of the federal government) and other correspondence (includes correspondence from Marines, their dependents and families, attorneys, doctors, educators, clergymen and members of the general public whether addressed directly to the Marine Corps or via third parties (president, congressmen, etc.))

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Inspection Division, Headquarters, U S Marine Corps. To facilitate and expedite responses to inquiries and correspondence from members of Congress, military personnel, and members of the general public. Such inquiries and correspondence routinely relate to allegations pertaining to request mast, maltreatment at Recruit Depots, and harassment.

Marine Corps commands. By officials and employees of the Marine Corps in the execution of their official duties as relates to the preparation of information upon which to base replies to members of Congress, Secretary of the Navy, relatives and members of the general public.

Department of Defense and its Components. By officials and employees of the Department in the performance of their official duties in connection with military personnel management.

Congress of the U S By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof on matters within their jurisdiction requiring disclosure of the files of the system.

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

Storage: Paper files as represented by card files and file folders. Files are stored in five drawer filing cabinets.

Retrievability: Files are accessed and retrieved by the name and card file number.

Safeguards: Building where files are stored and maintained employs 24 hour security guards. Records are further stored in areas of controlled access and handled by personnel with a need-to-know in the execution of their official duties.

Retention and disposal: Congressional, military and civilian inquiry files are retained three years, then destroyed.

System manager(s) and address: The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure: Information may be obtained from:

The Commandant of the Marine Corps (Code IGA)

Headquarters, U S Marine Corps

Washington, D C 20380

Telephone: Area Code 202/694-1324

Record access procedures: Requests from individuals desiring information may be addressed to: The Commandant of the Marine Corps (Code IGA), Headquarters, U S Marine Corps, Washington, D C 20380. However, final determination as to whether any information will be released or made available will be controlled by the SYSMANAGER.

Written requests for information should contain the full name of the individual and his social security number or former military service number. The following information will also be helpful in locating some records: Military rank and occupational specialty, dates and places of service, and any special correspondence previously received or sent.

For personal visits, an individual may visit the Inspection Division, Headquarters, U S Marine Corps, Federal Building 2, Washington, D C 20380. However, final determination as to whether any information will be released or made available will be controlled by the SYSMANAGER.

For personal visits, the individual should be able to provide personal identification to include valid military or dependent identification card or two valid civilian items of identification, such as driver's license, social security card, medicare card, etc.

Contesting record procedures: The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the Commandant of the Marine Corps (Code IG), Headquarters, U S Marine Corps Washington, D C 20380.

Record source categories: Information in the system is obtained from the Marine Corps Manpower Management System; the Joint Uniform Military Pay System; Marine Corps Military Personnel Records to include the Service Record Book and Officer Qualification Record; Military Medical Records; Staff elements and subdivi-

sions of Headquarters, U S Marine Corps; Marine Corps field commands, organizations and activities; other components of the Department of Defense; Agencies of Federal, State and local government; private citizens provided as character references by the individual; investigations related to disciplinary proceedings; and correspondence of private citizens addressed directly to the Marine Corps or via third parties such as members of Congress and other governmental agencies.

Systems exempted from certain provisions of the act: None

MMC00003

System name: Activity Check In/Check Out File

System location: May be located at any U S Marine Corps or U S Marine Corps Reserve activity.

Categories of individuals covered by the system: All members of the activity.

Categories of records in the system: Date reported and verification of check-in - check-out procedure.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Command, administrative and supply personnel to ensure individuals are appropriately entered with all unit records and as a safeguard against unit members being discharged or transferred without turning in property belonging to this unit or without being dropped from appropriate unit records.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

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

Storage: On paper in files or on clipboard.

Retrievability: Alphabetically by last name.

Safeguards: Access limited to activity personnel in the performance of their official duties.

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: Retained for 6 months after action has been completed.

System manager(s) and address: Activity commander.

Notification procedure: Write or visit SYSMANAGER Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Service records.

Systems exempted from certain provisions of the act: None

MMC00004

System name: Adjutant Services Section Discharge Working Files

System location: Adjutant Services Section, Marine Corps Base, Camp Pendleton, California 92055

Categories of individuals covered by the system: Members and former members of the Marine Corps and Marine Corps Reserve. Some information about dependents and other members of families or former families of Marine Corps personnel may be included in files pertaining to the Marine. Inquiries from the general public, whether addressed directly to Base or received via a third party, may be retained together with information obtained in the course of completing required action or in preparing a response.

Categories of records in the system: Files contain information pertaining to identification; prior service; location and addresses; prior and present marital status, dissolution of prior marriages, birth and death status, adoption of children, financial responsibility, child support, medical information, personal financial records, residence, basic allowance for quarters, leave and liberty, financial assistance, extensions of emergency leave, medical bills and determinations of dependency status as pertain to hardship discharges; investigative reports, prior and present disciplinary status, financial responsibility, conduct and personal history, medical information, police re-

ports, correction of naval records, veterans rights, benefits and privileges, pre-separation counseling and civil readjustment as they pertain to unsuitability, unfitness and misconduct discharges; financial status, college acceptance and residence as they pertain to early separation to attend college or trade school; religious beliefs and practices pertaining to applications for conscientious objector status; official correspondence (includes correspondence with Marine Corps commands and organizations, other Armed Services, the White House, members of Congress, Department of Defense, and other agencies of federal, state and local governments); other correspondence (including correspondence from Marines, their families, attorneys, doctors, clergymen, administrators/executors/guardians of estates, American Red Cross and other welfare agencies and the general public, whether addressed directly to the Marine Corps or via third parties); internal routing and processing of discharge matters; and records of interviews and telephone conversations.

Authority for maintenance of the system: Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To facilitate administration of programs concerning the discharge or separation of Marines; correction of naval records; veterans rights, benefits and privileges; support of dependents; personal affairs, welfare and family assistance; pre-separation counseling and civil readjustment.

To facilitate preparation and maintain a record of discharge processing and other communications from staff sections within Base Headquarters; Marine Corps commands and organizations; other Armed Services; the White House, Members of Congress; Department of Defense; other agencies of federal, state and local governments; Marines, their families, attorneys, doctors, clergymen, administrators/executors/guardians of estates; American Red Cross, and other welfare agencies and the general public.

To provide a record of decisions and actions taken.

By officials and employees of the Marine Corps and Marine Corps Reserve in the performance of their official duties in the administration of programs relating to the discharge matters cited above.

By officials and employees of the Department of the Navy, Department of Defense, and other government agencies in the performance of their official duties related to discharge and separation processing.

By government agencies or private organizations under Government contract to perform analytical and historical research pertaining to discharges and separations.

By intelligence and other Government agencies assisting in the investigation of deserters and absentees.

By Marines, former Marines, their next of kin, or persons or organizations designated by them in writing for whatever purpose access to the record is desired.

Information obtained, developed, or processed by the Base Discharge Section in performing functions related to this record system may be entered into the Marine Corps Manpower Management System and the Marine Corps Military Personnel Records System.

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

Storage: Paper records in file folders and card files stored in filing cabinets, shelves, tables and desks.

Retrievability: Files are accessed and retrieved by individual. Identification of individual is by name and social security number.

Safeguards: Building is located in base area with area guard. Outside and inside doors are locked after working hours and patrolled by Duty NCO. Access to information contained in the files is limited to officials and employees of Base Headquarters acting in their official capacity upon demonstration of a need-to-know.

Retention and disposal: Files are retained two years and destroyed.

System manager(s) and address: Commanding General, Marine Corps Base, Camp Pendleton, California 92055

Notification procedure: Correspondence pertaining to files maintained should be addressed to:

Commanding General
Marine Corps Base, Building 1160, Room 160
Camp Pendleton, California 92055
Telephone: Area Code 714/725-5071(5218)

Correspondence should contain the full name, social security number and signature of the requester. The individual may visit the

above location for review of files. Proof of identification may consist of the active, reserve, retired or dependent identification card, the Armed Forces Report of Transfer or Discharge (DD-214), discharge certificate, driver's license, social security card or by providing such other data sufficient to ensure the individual is the subject of the inquiry.

Record access procedures: Information may be obtained from:

Commanding General
Marine Corps Base, Building 1160, Room 160
Camp Pendleton, California 92055
Telephone: Area Code 714/725-5071(5218)

Contesting record procedures: The section's rules for access to files and for contesting and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Marine Corps Manpower Management System

Joint Uniform Military Pay System
Marine Corps Military Personnel Records System
Marine Corps Deserter Inquiry File
Staff agencies and subdivisions of Headquarters, U S Marine Corps
Marine Corps commands and organizations
Other agencies of federal, state and local governments
Educational institutions
Medical reports and psychiatric evaluations
Financial institutions and other commercial enterprises
Civil courts and law enforcement agencies
Correspondence and telephone calls from private citizens initiated directly to the Marine Corps or via the U. S. Congress and other agencies

Investigative Reports
American Red Cross and similar welfare agencies

Systems exempted from certain provisions of the act: None.

MMC00005

System name: Insurance Files

System location: Marine Corps Activities

Categories of individuals covered by the system: Insurance salesman requesting authority to do business at Marine Corps Activities

Categories of records in the system: A record of the certification of authority to solicit insurance, mutual funds, investment plans, and securities

Authority for maintenance of the system: Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Insurance Officer to maintain control of insurance sales in accordance with SECNAVINST 1740.—; Provide reference to agents who have requested authority to do business at Marine Corps activities and the disposition of such requests including any information in support of denial of such authorizations.

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

Storage: Paper records in file folders.

Retrievability: Files in alphabetical order by company name. Conventional indices are required for retrieval.

Safeguards: Maintained in locked building.

Retention and disposal: Maintained as long as active. If inactive, disposed of after two years by discard into military trash system. Not transferred.

System manager(s) and address: Local Commanding Officers

Notification procedure: Address requests to SYSMANAGER or visit the office; Military ID or other suitable identification is required.

Record access procedures: An individual can call for an appointment with the activity insurance representative for personal assistance or forward a written request for the required information.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Information is supplied by the insurance companies and salesman involved.

Systems exempted from certain provisions of the act: None

MMC00006

System name: Cash Receipts Voucher

System location: Public Works, Bldg 368, Room 110

Categories of individuals covered by the system: Officer/Enlisted/Civilian

Categories of records in the system: Name/Rank/Address

Authority for maintenance of the system: Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Record of cash collections for daily rentals, charges for damages, etc.

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

Storage: File Folder

Retrievability: Date

Safeguards: Building locked at night - Maintained by need-to-know personnel only

Retention and disposal: Four Years

System manager(s) and address: Public Works Officer, MCAS El Toro (Santa Ana), California 92709

Notification procedure: Information may be obtained from:

Commanding General (Code 1JA)
Marine Corps Air Station
El Toro (Santa Ana), California 92709
Telephone: Area Code 714/559-2267

Record access procedures: Written requests from the individual should be addressed to Commanding General (Code 1JA), Marine Corps Air Station, El Toro (Santa Ana), California 92709

Written requests for information should contain the full name of the individual and his social security number or former military service number. The following information will also be helpful in locating some records: Military rank and occupational specialty, dates and places of service, and any special correspondence previously received or sent.

For personal visits, the individual should be able to provide personal identification to include valid military or dependent identification card or two valid civilian items of identification such as driver's license, social security card, medicare card, etc.

Contesting record procedures: The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories: Individual

Systems exempted from certain provisions of the act: None

MMC00007

System name: Inspection of government property assigned to individual

System location: Fire Department, Bldg 376

Categories of individuals covered by the system: Inspection of Government Property

Categories of records in the system: Name, badge number, and government property assigned to individual

Authority for maintenance of the system: Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To show loss or deterioration of clothing and equipment

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

Storage: File

Retrievability: Name

Safeguards: Building locked at night - locked cabinet

Retention and disposal: Until separation

System manager(s) and address: G-2, MCAS El Toro (Santa Ana), California 92709

Notification procedure: Information may be obtained from:

Commanding General (Code 1CA)
Marine Corps Air Station
El Toro (Santa Ana), California 92709
Telephone: Area Code 714/559-3527

Record access procedures: Written requests from the individual should be addressed to Commanding General (Code 1CA), Marine Corps Air Station, El Toro (Santa Ana), California 92709

Written requests for information should contain the full name of the individual and his social security number or former military service number. The following information will also be helpful in locating some records: Military rank and occupational specialty, dates and places of service, and any special correspondence previously received or sent.

For personal visits, the individual should be able to provide personal identification to include valid military or dependent identification card or two valid civilian items of identification such as driver's license, social security card, medicare card, etc.

Contesting record procedures: The Marine Corps rules for contesting contents and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories: Inspection of property and clothing

Systems exempted from certain provisions of the act: None

MMC00008

System name: Message Release/Pickup Authorization File

System location: Marine Corps activities

Categories of individuals covered by the system: All personnel authorized to release message traffic.

Categories of records in the system: OPNAV Form 2160-5 (Message Release/Pickup Authorization)

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To allow Comm Center personnel to determine who is authorized to release messages for the commands; used to compare specimen signature on card with the signature on the message to be released; used by Comm Center employees in the execution of their assigned duties.

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

Storage: Cards are filed in a card file within the Communication Center

Retrievability: Alphabetically by name.

Safeguards: Located in a secure space within the Comm Center, which is manned on a 24-hour basis.

Retention and disposal: Retained until individual is replaced or authorization is revoked by proper authority; then destroyed by burning or shredding.

System manager(s) and address: Local commanding officers.

Notification procedure: Request information from the SYSMANAGER.

Record access procedures: Rules for access may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Organizations, departments, sections authorized to release messages for the command.

Systems exempted from certain provisions of the act: None

MMC00009

System name: Narrative Biographical Data with Photos (NAVMC Form 10573)

System location: Primary System - Headquarters, U S Marine Corps, Washington, D C 20380. All Marine Corps commands and districts maintain derivative files.

Categories of individuals covered by the system: Marine Corps active duty, reserve, and retired general officers and active duty colonels who submit biographical data with photographs in accordance with existing directives.

Categories of records in the system: Files contain standard biographical information as listed on NAVMC Form 10573 to include: personal identification, personal data, education background, military history, medals and decorations, combat, and chronology of Marine Corps service. A current photograph accompanies the file.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - To make routine news releases such as assignments and promotions; to provide background data in response to news

media queries; to provide background information on the individual officer prior to speaking engagements or appearances at public events in which the officer is scheduled to appear; to provide internal release of information as required.

Department of Defense and its components - By officials and employees of the Department in the performance of their official duties.

Congress of the U S - By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

News Media - To provide biographical information in response to query.

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

Storage: Paper records in file folders.

Retrievability: Filed alphabetically by last name of officer.

Safeguards: Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal: Biographical information is maintained on all general officers while on active duty. When a general officer retires, the biographical data is retained for five years after the date of the individual officer's retirement and retained by the Historical Division (Code HD), Headquarters, U S Marine Corps, Washington, D C 20380.

Biographical files are maintained on colonels while on active duty. Upon retirement of the officer, colonel biographical files are retained by Historical Division (Code HD), Headquarters, U S Marine Corps, Washington, D C 20380.

System manager(s) and address: The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380 or commander of unit holding file.

Notification procedure: Requests from individuals should be addressed to the Commandant of the Marine Corps (Code PAC), Headquarters, U S Marine Corps, Washington, D C 20380.

Written requests to determine whether or not the system contains a record about an individual should contain the full name of the general officer or colonel concerned.

Visits are limited to Division of Information (Code PAC), Headquarters, U S Marine Corps, Washington, D C 20380.

For personal visits, the individual should be able to provide some acceptable identification, such as a military identification card, and give some verbal information that could be verified with his 'case' folder.

Record access procedures: Information may be obtained from the Commandant of the Marine Corps and the commander of the unit holding the file.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Biographical data provided by the individual general/colonel and from personnel files.

Systems exempted from certain provisions of the act: None

MMN00014

System name: Work measurement labor distribution cards

System location: Marine Corps Activities

Categories of individuals covered by the system: Marine Corps employees, civilian, military and occasional summer hires funded by state and local programs.

Categories of records in the system: Labor distribution cards which have been prepared by either the concerned individual or his supervisor to record the number of hours worked by function.

Authority for maintenance of the system: Title 10, U S Code 124; 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide an input data base for daily labor of all individuals assigned to work organizations designated as part of the work measurement system or to provide a data base for systems implementation testing.

Work section supervisors - Compiled reports by individual are prepared for the work section supervisor who verifies that each of the assigned employees either reported the required number of hours or enters appropriate corrections.

Work Measurement System - integrates the data, without recording the identity of individuals to prepare productivity reports, statistical cost and budget workload information which is used primarily for local reports and to provide data for Headquarters, U S Marine Corps programs.

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

Storage: Labor distribution cards are key-punched to capture the source data. The input cards are then filed in non-sequential order pending completion of the report cycle.

Punched cards will be input to a computer program to prepare the work center list by individual.

Retrievability: The information identified by individual is available only from the list maintained by the work center supervisor within 90 days of the work week in question.

Safeguards: The alphabetical listings are maintained by each work center supervisor.

Retention and disposal: Lists are destroyed 90 days after the subject work week.

System manager(s) and address: Commanding Officer of Activity.

Notification procedure: Information may be obtained from SYSMANAGER

Record access procedures: Written request from individuals should be addressed to SYSMANAGER

Request should contain name of employee, work center number and work week for which data is requested.

Personal visits and telephone calls should be made directly to the employee's work center supervisor.

Contesting record procedures: The information on the list is only that which was submitted by the employee and should be corrected during the work month. After that time the manhours are entered on local and Headquarters reports and no corrective action is possible.

Record source categories: No particular format required for requests.

Systems exempted from certain provisions of the act: None

MMN00015

System name: Organizational Locators, Command Telephone/Organizational Board/Mail Directories and Rosters

System location: System is decentralized and maintained by all organizational elements of the Marine Corps Bases, Posts, Stations and Barracks as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system: All military and civilian personnel employed by or assigned to the Marine Corps activity concerned.

Categories of records in the system: Data cards, personnel plates, rosters, logs, boards or strips, which may include wife/husband name, home address and home telephone number, kept for all military and/or civilian personnel assigned to or employed by the Marine Corps Activity.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For locating individuals on routine and emergency matters, often used for mail distribution or reforwarding, or recall/reference rosters. May also be used as a roster/social reference for various official and semi-official activity functions.

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

Storage: File folders, log books, card/plate files, punched cards, printed/taped rosters, microfilm/fiche or magnetic tape.

Retrievability: Alphabetical by name, SSN, organizational title or description.

Safeguards: Access provided on an as required basis. Locked and/or guarded office or in custody of watch force.

Retention and disposal: Maintained until update is required due to change in personnel.

System manager(s) and address: Commanding officer of the activity in question. See Directory of Department of the Navy Activities for mailing address.

Notification procedure: Apply to SYSMANAGER

Record access procedures: Rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual concerned, other Marine Corps or activity records.

Systems exempted from certain provisions of the act: None

MMN00016

System name: Accident and Injury Reporting System

System location: Organizational elements of the U S Marine Corps as listed in the Directory of the Department of the Navy Activities.

Categories of individuals covered by the system: Military or civilian employees who are involved in accidents which result in lost time, government or private property damage or destruction and personnel injury or death.

Categories of records in the system: Name, rank, social security number, type of accident, degree of injury, days lost, date of injury, date returned to work, date and time of death (if a fatality), and all other factors concerning such accidents and injuries.

Reports include consolidated accident injury report, accident injury report, and report of motor vehicle accident.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Providing reporting information to higher headquarters in the computation of accident injury rates, consolidated accident report by separate category, motor vehicle accident-injury rates.

For utilization in the establishment of safety program, identification of unsafe working conditions and such other areas which prove a danger to personnel and/or property.

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

Storage: File folder, card files, punched cards, magnetic tape, and display boards

Retrievability: Name, SSN

Safeguards: Access provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal: Five years - disposal per SECNAV Records Disposal Manual.

System manager(s) and address: Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure: Apply to SYSMANAGER.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual concerned, military police traffic accident investigation reports, accident injury reports, other records of the activity, witness, and other correspondents.

Systems exempted from certain provisions of the act: None

MMN00017

System name: Armory Access and Individual Weapons Assignments

System location: Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system: All personnel assigned government weapons.

All personnel authorized access to individual armories.

Categories of records in the system: Records depict name of individual, type of weapon assigned, serial number of that weapon, accessories in the individual's possession, condition of the weapon and accessories, and individual's signature acknowledging receipt.

Name, rank, social security number of personnel authorized access to individual armories.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Weapons accountability, management and control of all U S Government weapons/accessories issued to personnel.

Control of personnel authorized access to armory spaces in the official execution of their duties.

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

Storage: File folders, cards, punched cards, magnetic tapes.

Retrievability: Records retained by name or weapons serial numbers.

Safeguards: Access rosters and personnel weapons assignments are provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal: As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address: Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure: Apply to SYSMANAGER.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual concerned, other records of the activity.

Systems exempted from certain provisions of the act: None

MMN00018

System name: Base Security Incident Reporting System

System location: Organizational elements of the U S Marine Corps as listed in the Directory of the Department of the Navy Activities.

Categories of individuals covered by the system: Individual involved in witnessing or reporting incidents requiring the attention of base security or law enforcement personnel.

Categories of records in the system: Incident/complaint reports; witness statements; stolen property reports; military police investigator's report; military police motor vehicle accident and injury report; military police alert cards; military police property custody forms, tags, and disposition of evidence letters; military police field interrogation cards; military police desk Sgt. blotter; use of force reports; traffic violation records; driving record reports; traffic court files; citations to appear before U S Magistrate; criminal investigation reports; civil court case records; minor offense report; uniform violation report; narcotics reports; polygraphy examinations; letters of warning/eviction from base housing; letters of warning/barring from federal reservation; Armed Forces police reports; suspect photographic files; child abuse files; juvenile case files; valuable property receipt; vehicle impound files and vehicle towing reports; suspension of driving privileges and revocation letters; assignment to absentee/deserter escort duty; and any other such report received by military police or security personnel in the official execution of their duties.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For law enforcement purposes by duly authorized personnel of the U S Marine Corps, Department of Defense and its related components, representatives of the U S Congress or any committee or sub-committee thereof on matters within their jurisdiction requiring disclosure of such files, or officials of federal investigative agencies in the performance of their official duties.

Provide evidence in uniform court of military justice and Title 18, U S Code 1382 proceedings and such related criminal investigations as are required.

Provide to local, state, and federal investigative agencies or court officials such information that properly falls within their purview requiring further investigation or court action.

Used by command legal personnel in the prosecution of military offenses and other administrative actions.

Support insurance claims and civil litigation.

Provide basis for revocation of base driving privileges.

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

Storage: File folders, card files, punched cards, metal filing cabinets, magnetic tapes.

Retrievability: Name, Social security number, case number, organization

Safeguards: Access provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal: As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address: Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure: Apply to SYSMANAGER.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act: Parts of this system may be exempt under Title 5, U S Code 552 a (J) or (K) as applicable, for additional information, contact the SYSMANAGER.

MMN00019

System name: Drug/Alcohol Abuse Reporting Program

System location: Organizational elements of the U S Marine Corps as listed in the Directory of the Department of the Navy Activities.

Categories of individuals covered by the system: All military personnel who have been tested for, identified, evaluated, apprehended, or rehabilitated for drug or alcohol abuse.

All military personnel who have been granted drug abuse exemption.

All military personnel who are seeking assistance in drug or alcohol abuse programs.

Categories of records in the system: Drug abuse identification/rehabilitation statistical reports, alcohol abuse identification/rehabilitation statistical reports, grant of drug exemption report, request for disposition on drug dependent personnel, grant of exemption/ rehabilitation case file to include medical evaluations, counselor evaluations, monthly progress reports, and such correspondence sent or received by SYSMANAGER pertaining to the individual concerned. Urinalysis specimen control register and military police drug/alcohol related offense reports.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide information to Headquarters, U S Marine Corps, organization and command officers, who in the official execution of their duties require such information in order to manage the drug/alcohol abuse control programs to include identification, counseling, and rehabilitation of abusers, the granting of exemption, control of urine specimen and the reporting of statistical information. To provide counselor reference information for the establishment of case history, therapy plans, recommendations and referrals.

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

Storage: File folders, card files, punched cards, magnetic tapes.

Retrievability: Name, social security number, case number.

Safeguards: Access provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal: As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address: Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure: Apply to SYSMANAGER.

Record access procedures: Rules for access may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual concerned, other records of the activity medical personnel, military police or other correspondences.

Systems exempted from certain provisions of the act: None

MMN00020

System name: Pet Registration

System location: Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system: Owners of pets residing on Naval reservations.

Owners of pets in quarantine as the result of biting complaints
Owners of pets whose pet is subject of nuisance complaints

Categories of records in the system: Owners name, social security number, address and description of pet, tag number, vaccination and registration information.

Record of complaints for vicious animals or bites.

Record of complaints for nuisance pets

Authority for maintenance of the system: Title 5, U S Code 301; Departmental Regulations, Federal, State, and Local Regulations, as applicable.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide for registration of pets to ensure appropriate inoculations in compliance with federal, state, and local laws.

Assist in the identification of rightful owners.

Identify dangerous pets and provide for quarantine of those animals suspected of biting.

Identify those pets which pose a nuisance to others and/or a health or safety hazard.

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

Storage: File folders, card files, punched cards, magnetic tapes.

Retrievability: Name, social security number, case number

Safeguards: Access provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal: As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address: Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure: Apply to SYSMANAGER

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Veterinary records and statements provided by pet owners, bit victims, military police, animal shelter, hospital personnel.

Systems exempted from certain provisions of the act: None

MMN00021

System name: Weapons Registration

System location: Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system: All individuals, military or civilian, registered firearms or other weapons with security officers.

All individuals who purchase a firearm or weapon at authorized exchange activities.

Any individual who resides in government quarters who possesses privately owned firearms.

Categories of records in the system: Weapon registration cards, weapon permit cards, notification to commanding officers of failure to register a firearm purchased at authorized exchanges, exchange notification or firearm purchase. Such records showing name, rank, social security number, organization, physical location of subject weapon, weapon description and such other identifiable items required to comply with all federal state, and local weapons registration ordinances.

Authority for maintenance of the system: Title 5, U S Code 301; Departmental regulations; federal, state and local regulations as applicable.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To assure proper control of all firearms/weapons introduced onboard Naval reservations and to monitor the purchase and disposition of firearms/weapons onboard Naval reservations.

To provide local, state, and federal law enforcement officials information as required in their execution of official duties.

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

Storage: File folders, card files, punched cards, magnetic tapes.

Retrievability: Name, social security number, organization, caliber and gage of weapon

Safeguards: Access provided on a need-to-know basis only. Locked and/or guarded offices.

Retention and disposal: As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address: Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure: Apply to SYSMANAGER.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual concerned, other records of activity, investigators, witnesses and correspondents.

Systems exempted from certain provisions of the act: None

MMN00022

System name: Vehicle Control System

System location: Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system: All individuals that have motor vehicles, boats, or trailers registered at a particular Naval installation on either a permanent or temporary basis.

All individuals who apply for a Government Motor Vehicle Operator's license.

All individuals who possess a Government Motor Vehicle Operator's license with authority to operate government motor vehicles.

Categories of records in the system: Record files of each individual who have vehicles registered on a particular Naval installation which include decal data, insurance information, state of registration listing, auto license plate information, plus such other personal history data required vehicle registration and identification.

Records of traffic violations, citations and suspensions

For government motor vehicle operators: Application for vehicle operator's I D card; Operator qualifications and record of licensing examination and performance, record of failures Government Motor Vehicle Operator's permit, record of issue of SF-46, Record of Government Motor Vehicle accidents, standard Form 91 accident report, record of SF46 suspensions/ revocations, record of MOJT student driver's training.

Identification of parking control

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used as car pool locator, vehicle registration, parking control insurance, verification and identification of vehicles to law enforcement personnel in the official execution of their duties.

To provide records on individual government drivers as it relates to their ability in operating a motor vehicle in order for official personnel to manage a safe and responsive motor transport organization. Such information used in conducting accident prevention programs, changing occupations and revoking or suspending government motor vehicle permits, disciplinary proceedings.

To assist federal, state, and local law enforcement agencies in the official execution of their duties when disclosure of such records is warranted.

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

Storage: File folders, card files, punched cards, magnetic tapes.

Retrievability: Name, social security number, case number, organization, decal number, state license plate number, vehicle description.

Safeguards: Access provided on a need-to-know basis only. Locked and/or guarded offices.

Retention and disposal: As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address: Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure: Apply to SYSMANAGER

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act: None

MMN00023

System name: Prisoner Records

System location: Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system: All military personnel who are confined in a detailed, adjudged or sentenced status.

Categories of records in the system: Information contained in the Manpower Management System data base, personal history to include civilian and military legal status, confinement progress reports and medical related information. Such other records as: Prisoner Conduct Record, Prisoner Confinement and Release Order, Prisoner Request for Restoration or Clemency, Prisoner Waiver of Restoration or Clemency, Court Martial Progress Report, Prisoner Identification Badge, Prisoner Data Card, Work and Training Report, Mail and Visiting List, Segregation Data Card, Prisoner Refusal to Eat Report, Prisoner Initial Contact Sheet, Prisoner Personal History, Prisoner Spot Evaluation Report, Counselor Continuation Sheet, Disciplinary Report, Prisoner Request Form, Prisoner Request for Funds Form, Prisoner Request for Pastoral Counseling, Prisoner Visiting Officer Form, Telephone and/or Visit Authorization Form, Receipt for Deposit Form, Prisoner Credit Card, Prisoner Identification Form, Clothing/Health and Comfort Inventory Form, Work Program Request, Library Card, Psychiatric Evaluation and Medical Reports.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide an all inclusive file on each individual prisoner to assist facility staff personnel in the evaluation, assignment to programs, assignment of custodial classification, providing psychiatric and medical treatment, provide a proper mixture of individual and group counseling, in the preparation of the prisoner for offense free military service or to prepare him for his future adjustment to civilian life. Routinely used by local correctional personnel in the day-to-day management of prisoners within established programs, by medical personnel, local commanders and higher headquarters in the management and implementation of correctional programs.

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

Storage: File folders, card files, punched cards, magnetic tapes.

Retrievability: Name, social security number, case number, organization.

Safeguards: Access provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal: As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address: Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure: Apply to SYSMANAGER.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act: None

MMN00024

System name: Absentee Processing File

System location: Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system: Marine Corps absentees and deserters; Marines in hands of civil authorities foreign and domestic; Marines who fail to comply with orders to new duty stations; suspected and convicted absentees and deserters who have returned to military control within the last two years.

Categories of records in the system: Files contain manual records. These records reflect personal identification data, absentee's current status, parent command, notations of arrests, nature and disposition of criminal charges, and other pertinent information which is necessary to monitor, control and identify absentees.

Authority for maintenance of the system: Title 5, U S Code 301

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

Headquarters, U S Marine Corps and Marine Corps commands, activities, and organizations - By officials and employees of the Marine Corps in connection with their assigned duties to record and monitor deserter/ absentee cases entered into the National Crime Information Center's Wanted Persons File; to monitor and assign absentees upon their return to military control; to ensure that absentees are formally charged in accordance with the Uniform Code of Military Justice prior to expiration of the Statute of Limitations; to monitor Marine absentees and deserters believed to be located in foreign countries; to monitor Marines who have failed to comply with permanent change of station (PCS) orders or orders to travel and report without escort; to insure correspondence pertaining to absentees and deserters received by the Marine Corps is processed in a timely manner; to insure that appropriate action is taken within the Manpower Management System to join or drop absentees to desertion; to provide periodic management reports concerning absentees and deserters as directed by higher authority.

Comptroller General of the U S - To respond to the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to Marine Corps Manpower Management Programs.

The Attorney General of the U S - To coordinate with the Attorney General or his authorized representatives in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice as carried out as the legal representative of the Executive Branch.

The Department of Defense - To coordinate with the other components of the Department of Defense as may be required to report, identify, apprehend and return Marine absentees and deserters to Marine Corps control.

Civilian Law Enforcement Agencies - To coordinate with appropriate federal, state, and local law enforcement agencies as may be required to report, identify, apprehend and return Marine absentees and deserters to Marine Corps control.

Courts - To respond to court orders in connection with matters before a court.

Congress of the United States - To respond to inquiries of the Senate or the House of Representatives of the United States or any committee or subcommittee thereof or any joint committee or joint subcommittee of the Congress on matters within their jurisdiction as may be requested of the Marine Corps.

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

Storage: Records are stored in file folders, card files, and punched cards.

Retrievability: Records may be accessed by name, social security number, case number, or organization.

Safeguards: Records are located in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal: As established by the SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address: Commandant of the Marine Corps (Code MP), Headquarters, U S Marine Corps, Washington, D C 20380 or the Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure: Apply to SYSMANAGER.

Record access procedures: Requests from individuals should be addressed to the Commandant of the Marine Corps (Code MP), Headquarters, U S Marine Corps, Washington, D C 20380 or the Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Written requests for information should contain the full name of the individual, his place and date of birth, his social security number, and his signature.

For personal visits, the individual should be able to provide military identification card, driver's license or other type of identification bearing picture or signature or by providing verbal data sufficient to insure that the individual is the subject of the inquiry.

Contesting record procedures: The rules for contesting contents and appealing initial determinations may be obtained from the Commandant of the Marine Corps (Code JA), Headquarters, U S Marine Corps, Washington, D C 20380.

Record source categories: Information in the system is obtained from the Marine Corps Military Personnel Records; from the individual's commanding officer, officer-in-charge, federal, state and local law enforcement agencies; lawyers, judges, Members of Congress, relatives of the individual, private citizens, the Veteran's Administration, and the individuals themselves.

Systems exempted from certain provisions of the act: Parts of this system may be exempt under Title 5, U. S. Code 552 a (j) or (k) as applicable. For additional information, contact the SYSMANAGER.

MMN00025

System name: Orders to ACUTRA, Assignment to Voluntary EAD, Assignment to Involuntary Unrestricted EAD

System location: Headquarters, U S Marine Corps, Marine Corps District, Organized Marine Corps Reserve Units, any Marine Corps command.

Categories of individuals covered by the system: Members of the Marine Corps Reserve ordered to active duty for training, assignment to voluntary extended active duty, assignment to involuntary unrestricted extended active duty.

Categories of records in the system: Files contain individual's name, rank, social security number, pay entry base date, military occupational specialty, security clearance, date of last physical examination, home address, destination, name and address of next of kin, detaching command.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Marine Corps districts and Marine Corps commands, activities, and organizations - By officials and employees of the Marine Corps in the execution of their official duties with regard to the administration and management of issuing orders to the individual, maintaining personnel pay and unit records, accomplishing appropriate legal or disciplinary action.

Officials and employees of the Naval service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

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

Storage: Paper records in file folders stored in filing cabinets.

Retrievability: Alphabetically by last name, rank, social security number, month orders were issued and type of orders.

Safeguards: Access to information contained in the files is limited to officials of the Marine Corps in the performance of their official duties.

After working hours, the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: Files are retained for two calendar years and then destroyed.

System manager(s) and address: Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure: Write or visit SYSMANAGER, Reserve Branch Marine Corps District Headquarters or detaching or joining unit. Provide full name, social security number, and military status.

Proof of identity may be established by military identification card or DD 214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Service records, Commandant of the Marine Corps assignment case files.

Systems exempted from certain provisions of the act: None

MMN00026

System name: Working Files for Training Related Matters

System location: Decentralized, located throughout the Marine Corps.

Categories of individuals covered by the system: Training records are kept on all Marines.

Categories of records in the system: Files contain name, social security number, age, height, weight, grade, point average, schools attended, grades, favorable and unfavorable material, various qualifications, clearances, access, TAD related information, course related data, branch of service, local address, phone number, biographical data, MCI enrollment, swimming qualification, PFT score, and rifle qualification.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The purpose of this system is to assist the Marine Corps in being capable of meeting assigned missions through adequate training and control. This system is used for official purposes by Marine Corps personnel, DOD, and other official government agencies.

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

Storage: Paper records in files, loose-leaf notebooks, and card files.

Retrievability: Files alphabetically by name, cross-filed by SSN.

Safeguards: Buildings supervised by duty personnel. Records are maintained and accessible to authorized personnel only.

Retention and disposal: Records are retained for varying periods dependent on local requirements.

System manager(s) and address: Local commander activity concerned.

Notification procedure: Information may be obtained by contacting local command concerned.

Record access procedures: Requests from individuals should be directed to command concerned.

Contesting record procedures: Appeals and contest of records should be directed to command concerned.

Record source categories: Supervisors, students, instructors, and official records. Applicant and references supplied by applicant JUMPS/MMS data base Marine Corps Institute.

Systems exempted from certain provisions of the act: None

MMN00027

System name: Marine Corps Military Personnel Records Access Files

System location: The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Categories of individuals covered by the system: All officials and employees of the Department of Defense authorized to draw Marine Corps military personnel records and, except for agents of Secret Service, Federal Bureau of Investigation and Naval Investigative Service which agents are granted access by presentation of credentials, all designated, justified and approved law enforcement/investigative personnel of other Federal agencies permitted access to Marine Corps military personnel records at Headquarters, U S Marine Corps only.

Categories of records in the system: Authorization cards submitted by officials of HQMC and DOD granting individual authority to order Headquarters, U. S. Marine Corps official military personnel records.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Officials and employees of Headquarters U S Marine Corps. For controlling, monitoring and for providing a ready reference to personnel authorized to draw and/or review Marine Corps military personnel records.

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

Storage: Looseleaf Binder and Card Index Files

Retrievability: Alphabetical and by Agency

Safeguards: Building employs security guards.

Retention and disposal: Destroyed upon cancellation of access authorization.

System manager(s) and address: Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure: Request by correspondence should be addressed to the Commandant of the Marine Corps (Code MSRB), Headquarters, U S Marine Corps, Washington, D C 20380. The letter should contain the full name, social security number and signature of the requester.

The individual may visit Headquarters, U S Marine Corps, Washington, D C., Room 1206. Proof of identification may consist of his active, reserve or retired identification card, his Armed Forces Report of Transfer or Discharge (DD214), his discharge certificate, his driver's license or by providing such other data sufficient to insure that the individual is the subject of the inquiry.

Record access procedures: Information may be obtained from:

Commandant of the Marine Corps

Headquarters, U S Marine Corps (Code MSRB)

Washington, D C 20380

Telephone Area Code 202/694-1043

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Staff agencies and subdivisions of Headquarters, U S Marine Corps.

Other staff agencies of the Department of Defense.

Law enforcement/investigative divisions of other Federal agencies.

Systems exempted from certain provisions of the act: None

MMN00028

System name: NAF Personnel Records

System location: Marine Commands Employing NAF Personnel

Categories of individuals covered by the system: Personnel hired by all Marine Corps Commands that are paid for with NAF

Categories of records in the system: Files contain the personal information on all NAF Personnel

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by management in daily administration of NAF personnel.

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

Storage: In paper records in file folders

Retrievability: By Name

Safeguards: Records are in locked file cabinet, areas limited to management personnel

Retention and disposal: Records are maintained for period employment plus two years after termination, then transferred to National Civilian Personnel Records Center, St. Louis, Missouri 63118.

System manager(s) and address: Local Commanders

Notification procedure: Information can be obtained by contacting the respective local command.

Record access procedures: Requests should be addressed to local commands.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Forms completed by applicant for employment; forms completed by previous employer or by business/personal references; personal interview.

Systems exempted from certain provisions of the act: None

MMN00029

System name: Patient Administrative Folders

System location: Marine Barracks, EPO, Seattle 98762

Categories of individuals covered by the system: Marine personnel assigned to or serving with the Marine Barracks, Yokosuka, who are hospitalized in, or who are in an out-patient status of the Navy Regional Medical Center, Yokosuka, Japan.

Categories of records in the system: Records contain personal data to include name, rank, social security number, military occupational specialty, unit assignment, diagnosis, progress, condition, any personal desires relevant to his hospitalization.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Headquarters, U S Marine Corps and Marine Corps commands, activities, and organizations - By officials and employees of the Marine Corps in the execution of their official duties.

Department of Defense and its components - By officials and employees of the Department in the performance of their official duties.

Congress of the U S - By the Senate or the House of Representatives of the U S, or any committees or sub-committees thereof on matters within their jurisdiction requiring disclosure of the files.

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

Storage: Paper records in file folders.

Retrievability: Alphabetically

Safeguards: Records are maintained in a locked filing cabinet. Only authorized personnel have access.

Retention and disposal: Files are retained for the period of hospitalization and six months thereafter.

System manager(s) and address: Commanding Officer, Marine Barracks, FPO, Seattle 98762

Notification procedure: Information may be obtained from:

Commanding Officer

Marine Barracks

FPO, Seattle 98762

Record access procedures: Written requests should be addressed to the SYSMANAGER

Requests should contain name, rank, social security number, and date of hospitalization.

Contesting record procedures: The agency's rules for access to records and contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Hospital Patient Affairs

Official military records

Individual concerned

Systems exempted from certain provisions of the act: None

MMN00030

System name: Fitness Report Logs for Officer and Enlisted Personnel

System location: Battalion Adjutant office and Sergeant Major's office.

Categories of individuals covered by the system: Former and present U S Marine Corps active duty officers and non-commissioned officers in rank of sergeant and above.

Categories of records in the system: Log contains name of individual, reason for fitness report, period covered, grading of blocks 13a, 15a, and 16 from fitness report form for non-commissioned officers, date submitted to Commanding Officer, Commanding General, Commandant of the Marine Corps and the date the form is received at Headquarters, U S Marine Corps.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Battalion Commanding Officer uses the information on the non-commissioned officers mainly in recommending the person for special performance pay or for special assignments, such as, Marine Security Guard School, Marine Barracks, etc.

Battalion Adjutant uses the log to ensure fitness reports are submitted in a timely manner and received by Headquarters, U S Marine Corps.

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

Storage: Log book maintained in a locked desk.

Retrievability: Listing is completed as fitness report is given to Battalion Commander. Information must be transcribed manually from the log for the individual.

Safeguards: Logs are secured in the respective custodian's desks. The building is secured with an external area guard.

Only the commanding officer, executive officer, adjutant, sergeant major and listed individuals can view the contents of the log.

Retention and disposal: Logs are maintained for one year after last entry is submitted.

System manager(s) and address: Commanding Officer, Base Materiel Battalion, Marine Corps Base, Camp Pendleton, California 92055.

Notification procedure: Information may be obtained from:

Commanding Officer
Base Materiel Battalion
Marine Corps Base
Camp Pendleton, California 92055
Telephone: Area Code 714/725-4313 (enlisted), 725-4900 (officers).

Record access procedures: Requests should be submitted to the above address. Personnel must present identification card or civilian identification before information is given.

Contesting record procedures: The Marine Corps rules for appealing may be obtained from SYSMANAGER.

Record source categories: Information transcribed from the fitness report submitted.

Systems exempted from certain provisions of the act: None

MMN00031

System name: Marine Corps Recreation Facilities

System location: Marine Corps activities

Categories of individuals covered by the system: Authorized personnel to utilize Special Services facilities

Categories of records in the system: Usage data on each activity

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: By management personnel to record usage

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

Storage: In paper records in file folders

Retrievability: By activity value

Safeguards: Records are maintained in administrative offices of local Special Services organizations.

Retention and disposal: Records are maintained for three years.

System manager(s) and address: Local commanding officers

Notification procedure: Local commander

Record access procedures: Information may be obtained from local commander.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the local commander.

Record source categories: Individual activities, individuals, I D cards, stables contract worksheets, communications electronics officer, interview with parents and student, request cards and master schedule cards.

Systems exempted from certain provisions of the act: Those activities that are self-directive in nature, i.e., tennis, handball, etc.

MMN00032

System name: Personal History Card File

System location: Provost Marshal's Office, Marine Corps Base, Camp Lejeune, North Carolina 28542.

Categories of individuals covered by the system: All individuals, both military and civilian, employed aboard Marine Corps Base, Camp Lejeune, North Carolina.

Categories of records in the system: Personal History Card (MCBul 12290). Contains personal identifying information and where employed.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by officials and employees of Marine Corps and Navy Commands, activities, and organizations in connection with their assigned duties. To provide a rapid locator of employees at their work site for law enforcement purposes. Also used to issue Civilian Identification Cards to employees.

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

Storage: Paper records filed in metal card trays.

Retrievability: Filed alphabetically by name.

Safeguards: Records are maintained in a secure area accessible only to authorized personnel. The File Room is under constant surveillance during working hours and is locked after working hours.

Retention and disposal: Records are retained until the card expires, then destroyed by burning.

System manager(s) and address: Commanding General (Attn: Provost Marshal), Marine Corps Base, Camp Lejeune, North Carolina 28542. Telephone: Area Code 919/451-2455.

Notification procedure: Inquiries by individuals will be answered upon satisfactory identification of the requester to the SYSMANAGER.

Record access procedures: Rules for access may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individuals concerned may be obtained from the SYSMANAGER.

Record source categories: Military and civilian personnel employed aboard Marine Corps Base, Camp Lejeune, North Carolina; Provost Marshal administrative personnel.

Systems exempted from certain provisions of the act: None

MMN00033

System name: Recreation Fund Property Records

System location: Local commands maintaining recreation funds.

Categories of individuals covered by the system: Active duty military, retired military, military dependents and military reserves on active duty who utilize Special Services activities in the Marine Corps.

Categories of records in the system: Special Services Activities Usage Data records reflect the name, rank, social security number, status of account, military unit and home address.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Marine Corps activities and organizations - By Marine Corps officials and employees in executing their assigned duties.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

Congress of the U S - By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

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

Storage: Card files

Retrievability: Alphabetical by name

Safeguards: Records are maintained in a metal file in the Recreation Property Compound and Athletic Office. During non-operating hours, the activity is locked.

Retention and disposal: Until equipment is returned or Recreation Fund is reimbursed.

System manager(s) and address: Local commander

Notification procedure: Information may be obtained from the local commander.

Record access procedures: Local commander.

Written requests for information should contain the full name and grade of the individual.

For personal visits, the individual should be able to provide valid personal identification such as an employee's badge, driver's license, medicare card, etc.

Contesting record procedures: The Marine Corps rules for contesting and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories: Individual

Systems exempted from certain provisions of the act: None

MMN00034

System name: Personnel Procurement Working Files

System location: Headquarters, U S Marine Corps

Personnel Procurement Branch, Marine Corps Districts

Recruiting Stations

Officer Selection Offices

Organized Marine Corps Reserve units

Categories of individuals covered by the system: Civilians and prior service individuals who are prospective applicants for enlistment in the Marine Corps, Marine Corps Reserve or a Marine Officer program, individuals on which a written waiver for enlistment has been requested; Platoon Leader Class Candidates receiving financial assistance while attending college; all individuals applying for various officer programs; Marine Corps Reserve enlistees who are serving on their 6 months active duty prior to return to Organized Marine Corps Reserve unit maintaining their record; Personnel enlisted in the Marine Corps Reserve assigned to a formal school upon enlistment; Secondary school students who participated in the Marine Corps Youth Physical Fitness meet held annually in Washington, D C, and the coach fielding each team; Any individual recommended for enlistment in the Marine Corps by a recruiting officer even though the applicant does not meet the enlistment requirements set forth in current guidance as set forth by the Commandant of the Marine Corps.

Categories of records in the system: All files contain Name (Last, First, Middle, (maiden, if any), Jr., Sr.), social security number, home of record. Files relating specifically to enlistment or officer procurement contain citizenship, sex, race, ethnic group, present address, marital status, number of dependents, date of birth, religious preference, highest grade completed, selective service system data, foreign language and skill, driver's license information, mental and aptitude test results, medical examination result, delayed enlistment program information, accession data, educational experience, citizenship verification, history of prior military service, names of relatives to include date and place of birth, present address and citizenship, listing of commercial life insurance policies and number, relatives and alien friends living in foreign countries to include name and relationship, age, occupation, address and citizenship, all previous residences since 10th birthday, previous employment record to include company name and address, job title and supervisor's name, data concerning previous employment by foreign governments, prior membership in youth programs, history of foreign travel. Declarations from the individual concerning; previous rejection by the Armed Forces of the United States, conscientious objector status, previous deserter status, retired pay, disability allowance, or severance pay or a pension from the Government of the United States, status as an only child; understandings by the applicant; date of interview and name, organization, title of interviewer; history of prior use of drugs except as prescribed by a licensed physician; prior intentional sniffing of glue, hairspray or other chemical fumes; prior use, purchase, possession or sale of illegal or controlled drugs except as prescribed by a licensed physician; marital status and dependency; membership in groups for purpose of unlawful overthrow of the Government; history and record of involvement with police or judicial authorities; parental/guardian consent for enlistment; enlistment options; current income; whether own, buying, or renting present residence; outstanding debts to include total amounts and monthly payments; status of savings account and checking account; spouses' employment and monthly income; police checks; character references; record of prior service; court documents; marriage certificates; birth certificates; record of medical examination; record of medical history; medical consultations statement of personal history; divorce decrees; death certificates; photographs; high school diploma; college diploma; grade transcript; General Educational Development certificates of High School equivalency; sole surviving son statements; statement of un-

derstanding; wife's consent form; applications for General Educational Development certificates of High School equivalency. Files relating to Marine Corps Reserve personnel on active duty contain information pertaining to name, social security number, sex, unit of assignment, home of record, education, Armed Services Vocational Aptitude Battery Test scores, vision, military occupational specialty training information, Quota Serial Number, training authorized.

Authority for maintenance of the system: Title 5, U. S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: By officials and employees of the Marine Corps in the execution of their official duties with regard to personnel procurement and problems which develop as a result thereof; maintained to assist recruiters and Officer Selection Officers in contacting possible applicants for the Marine Corps.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

Reserve Unit commander and administrative personnel, to monitor return of enlistee to unit and provide information on anticipated unit strength and status; To make available emergency data information.

Recruiting Station and Inspector-Instructor Staff Personnel in their assigned duties.

To provide Headquarters, U S Marine Corps information on those individuals attending the Marine Corps Youth Physical Fitness national championship.

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

Storage: Paper records in file folder. Records are maintained in areas accessible only to authorized personnel.

Retrievability: Individuals listed in alphabetical order according to program.

Safeguards: Access is limited to Reserve unit command, recruiting, and administrative personnel and law enforcement or Federal agents upon presentation of proper credentials.

After working hours the office and building are locked.

Retention and disposal: Maintained for two years or until prospect, applicant, candidate or reservist changes status.

System manager(s) and address: Commander of unit holding file.

Notification procedure: Write or visit SYSMANAGER Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the Individual concerned may be obtained from the SYSMANAGER.

Record source categories: High School Lists, DD 214's, Prospect interviews/Referrals, Local Newspapers, Youth Fitness programs, individual contacts, Marine Corps officials.

Systems exempted from certain provisions of the act: None

MMN00035

System name: Truth Teller/Static Listings

System location:

The Commandant of the Marine Corps

Headquarters, U S Marine Corps

Washington, D C 20380

Categories of individuals covered by the system: All present and former members of the U S Marine Corps

Categories of records in the system: The system comprises non-automated records of basic information (Name, Military Service Number/Social Security Number, Pay Entry Base Date, Home of Record (State and County) and Date of Birth) pertaining to all individuals who ever served in the U S Marine Corps.

Authority for maintenance of the system: Title 10, U S Code Section 5201

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Officials and employees of Headquarters, U S Marine Corps for making necessary identification of members and former members of the U S Marine Corps in connection with official business and in response to inquiries received at the Headquarters.

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

Storage: File Folders, Binders and Microfilm Cartridges

Retrievability: Name, Military Service Number and Social Security Number

Safeguards: Records maintained in locked room. Building employs security guards.

Retention and disposal: Permanent

System manager(s) and address: Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure: Request by correspondence should be addressed to the Commandant of the Marine Corps (Code MSRB), Headquarters, U S Marine Corps, Washington, D C 20380. The letter should contain the full name, social security number and signature of the requester.

The individual may visit Headquarters, U S Marine Corps, Columbia Pike and Arlington Ridge Road, Arlington, Virginia, room 1206. Proof of identification may consist of his active, reserve or retired identification card, his Armed Forces Report of Transfer or Discharge (DD214), his discharge certificate, his driver's license or by providing such other data sufficient to insure that the individual is the subject of the inquiry.

Record access procedures: Information may be obtained from:

Commandant of the Marine Corps (Code MSRB)

Headquarters, U S Marine Corps

Washington, D C 20380

Telephone Area Code 202/694-1043

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Enlistment and Officer Acceptance Contracts

Systems exempted from certain provisions of the act: None

MMN00036

System name: Identification Card Control

System location: All United States Marine Corps units.

Categories of individuals covered by the system: Regular and Reserve Marines including retired and disability retired and their dependents who have been issued an Identification Card.

Categories of records in the system: Log book contains name, rank, social security number, and card number, issue date, expiration date, signature of person card issued to and signature of issuing person.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To maintain accountability for Serialized Identification Cards.

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

Storage: These records are kept in a log book.

Retrievability: By type card, chronologically by date also retrievable by name.

Safeguards: The log books are stored in a locked container in a location which is locked after working hours. A guard is located in the general area.

Retention and disposal: Two years from date of closing entry.

System manager(s) and address: Unit Commanders.

Notification procedure: Write or visit SYSMANAGER Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD 214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories: Officers Qualification Record/Service Record Book of individual application for dependents privileged card, correspondence from Headquarters, U S Marine Corps.

Systems exempted from certain provisions of the act: None

MRS00002

System name: Involuntary Active Duty Case Files

System location: All Organized Marine Corps Reserve reporting units, Marine Corps Districts and Headquarters, U S Marine Corps.

Categories of individuals covered by the system: Members of Marine Corps Reserve recommended and processed for involuntary active duty.

Categories of records in the system: Rank, name, military occupational specialty, social security number, summary of military service including information on performance of duty, disciplinary history, duty assignments, education, personal financial status, medical and psychiatric evaluations, dependent information, pertinent investigative reports, promotions, reductions, physical fitness and capacities, leave status, personal preservice history.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: By commanders, legal, and administrative personnel and other officials and employees of the Marine Corps in the execution of the decision making process concerning the recommendations for involuntary active duty.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

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

Storage: On paper in file folders.

Retrievability: Alphabetically by last name.

Safeguards: Access limited to commanders, legal, administrative personnel and other officials and employees of the Marine Corps necessary to review and process recommendations.

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: Headquarters, U S Marine Corps - Permanent, Units - Two years after completion of action.

System manager(s) and address: Commandant of the Marine Corps, Headquarters, U S Marine Corps.

Notification procedure: Write or visit SYSMANAGER or command originating request. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Medical records, statements by military or civilian supervisors, training records, unit attendance records.

Systems exempted from certain provisions of the act: None

MRS00003

System name: Employment Referral Questionnaire for Members of Reserve Units

System location: May be retained by all Inspector-Instructor Staffs.

Categories of individuals covered by the system: All Reservists who desire assistance in obtaining civilian employment.

Categories of records in the system: Resume on each individual which may include member's sex, age, social security number, education, past civilian employment, past military experience, present civilian employment, type of employment desired, type driver's license, preferred location of employment, present address and marital status.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: May be used by members of the reserve unit and the Inspector-Instructor Staff to assist in finding civilian employment for the requesting member.

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

Storage: May be on paper or cards in binder or file folder.

Retrievability: Alphabetically by last name, may also be by type employment desired, area employment desired in, rank or age.

Safeguards: After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: One year after employment is found or member is transferred or discharged.

System manager(s) and address: Inspector-Instructor.

Notification procedure: Write or visit SYSMANAGER. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Application form from individual requesting assistance and service records.

Systems exempted from certain provisions of the act: None

MRS00004

System name: Individual Drill Attendance and Retirement Transaction Card (IDART) File

System location: All Organized Marine Corps Reserve Units and Marine Corps Reserve Administrative Activity, Kansas City, Missouri.

Categories of individuals covered by the system: Maintained on all members of the reserve unit.

Categories of records in the system: Individual's name, rank, social security number, pay entry base date, expiration of reserve contract, a record of drill attendance for the current calendar year, by month, and retirement points awarded.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Unit command and administrative personnel. Maintain records of the drill attendance and reserve retirement credit points awarded members of the unit.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

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

Storage: File cards in box in metal file cabinet.

Retrievability: Alphabetically by last name.

Safeguards: File maintained in a locked metal file cabinet.

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: Annual cards are retired in January following the year for which the card is maintained. Cards are kept for three years after retirement and then burned. Upon transfer of a reservist, the IDART is transferred with the service record book.

System manager(s) and address: Headquarters, U S Marine Corps, Commanding Officer and Inspector Instructor of Organized Marine Corps Reserve unit.

Notification procedure: Write or visit Inspector-Instructor or Commanding Officer of the Organized Marine Corps Reserve Unit concerned. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures: Write or call in person to the Inspector-Instructor or Commanding Officer of the Organized Marine Corps Reserve Unit concerned.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Service records and unit attendance rosters.

Systems exempted from certain provisions of the act: None

MRS00005

System name: Reserve Drill Attendance Rosters

System location: All Organized Marine Corps Reserve Units, Marine Corps District Headquarters, Marine Corps Reserve Force Administrative Activity, Kansas City, Missouri

Categories of individuals covered by the system: All members of the Reserve Unit including Reserve Navy personnel attached.

Categories of records in the system: Includes name, rank, component code, social security number, primary military occupational specialty, first additional military occupational specialty and drill attendance information.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Unit commanders and administrative personnel to determine drill strength and drill attendance.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

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

Storage: Paper record in file folder.

Retrievability: Alphabetically by last name.

Safeguards: Access limited to unit command and administrative personnel.

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: Two years, then destroyed.

System manager(s) and address: Marine Corps Reserve Force Administrative Activity, Kansas City, Missouri

Notification procedure: Write or visit Commanding Officer or Inspector-Instructor of unit concerned. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Service records and supervisor attendance reports.

Systems exempted from certain provisions of the act: None

MRS00006

System name: Marine Junior Reserve Officers Training Course Instructor Personnel Files

System location: Headquarters, 12th Marine Corps District, U. S. Naval Station Treasure Island, San Francisco, California

Categories of individuals covered by the system: All Senior Marine Instructors and Marine Instructors for Marine Corps Junior Reserve Officer Training Course units sponsored by the 12th Marine Corps District.

Categories of records in the system: File contains individual's name, social security number, address, school, qualifications and a copy of their contract with the school.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Marine Corps Junior Reserve Officers Training Course project officer and administrative personnel use files to ensure that teaching contracts are current and in consonance the Marine Corps' policy, to monitor personnel status of instructors and administer Marine Corps Junior Reserve Officers Training Course program.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

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

Storage: Paper records in file folder.

Retrievability: Files by name of school and alphabetically by last name.

Safeguards: Access to information contained in the files is limited to officials of the Marine Corps in execution of their duties in relation to the Marine Corps Reserve Officers Training Course program.

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: The instructors' period of employment.

System manager(s) and address: Assistant Director for Reserves, 12th Marine Corps District.

Notification procedure: Write or visit SYSMANAGER. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Individual and school authorities concerned.

Systems exempted from certain provisions of the act: None

MRS00007

System name: Unsatisfactory Participant Case Files

System location: Reserve Branch Headquarters, 12th Marine Corps District, U. S. Naval Station Treasure Island, San Francisco, California

Categories of individuals covered by the system: Any individual who becomes an unsatisfactory participant in the Organized Marine Corps Reserve and is reported to this Headquarters.

Categories of records in the system: File contains copies of all endorsements and correspondence relative to processing unsatisfactory participants.

Authority for maintenance of the system: Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reserve Branch, 12th Marine Corps District uses file to determine the location and pending action on correspondence relating to unsatisfactory participants and to manage appropriate administrative and legal processing.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

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

Storage: Paper records in file folder.

Retrievability: Alphabetically by last name.

Safeguards: Access is limited to officials and employees of the 12th Marine Corps District in the performance of their official duties.

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal: Records are temporary. They are retained for one year from the date action is completed on individual cases.

System manager(s) and address: Assistant Director for Reserves, 12th Marine Corps District.

Notification procedure: Write or visit SYSMANAGER. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures: The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures: The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: From reports made by unit commanders of individual unsatisfactory participation and unit attendance rosters.

Systems exempted from certain provisions of the act: None

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

N00018 02

System name: Bureau of Medicine and Surgery Headquarters Personnel System

System location: Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372

Categories of individuals covered by the system: Navy Medical Corps, Dental Corps, Medical Service Corps, Nurse Corps and Warrant officers 8175 - active, inactive, regular, reserve, resigned, retired and deceased; Navy civilian employees - GS series 602 (physician); applicants to student status in Navy Aerospace Medicine, Navy Aerospace Physiology and Navy Aerospace Experimental Psychology; designated flight surgeons, aerospace physiologists and aerospace experimental psychologists; Navy and civilian personnel qualified as divers; Navy and civilian personnel exposed to radiation hazards; civilian physicians applying for full time graduate medical education; distinguished/noted civilian physicians in capacity of lecturer/consultant.

Categories of records in the system: All personal and demographic data; education, training and professional qualifications; assignment history, projected rotation date, projected release from active duty date, active duty obligation, officer preference card, and variable incentive pay/continuation pay selection data; Hospital Corps education and training history with grades received, commanding officers' performance evaluation and recommendations; demographic and professional information on civilian physician employees; periodic and total lifetime accumulated radiation dosage; curricula vitae of civilian consultants.

Authority for maintenance of the system: Title 10, U.S. Code; Title 10 CFR Part 20 'Standards for Protection Against Radiation'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Procurement, training, promotion, all aspects of personnel management; career development; screening and selection for Hospital Corps training; evaluation of candidates for position of lecturer/consultant; mobilization planning and verification of Reserve service; management of physical standards; maintenance of safe radiation protection standards.

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

Storage: Automated records stored on disc, tape, punched card. Manual stored in card files and folders in filing cabinets.

Retrievability: Automated retrieved by key to any data field. Manual retrieved by full name.

Safeguards: Buildings locked outside regular working hours.

Retention and disposal: Active duty records maintained during period of active service. Inactive reserve data cards maintained permanently. Enlisted training and duty preference records destroyed every 2 years. Reserve correspondence files retired to Federal Records Management Center, St. Louis, Mo. on termination of Ready or Standby Reserve affiliation. Aerospace Medicine correspondence files destroyed 2 years after termination of active ser-

vice; cards retained permanently. Radiation exposure records retained for 75 years and destroyed. Medical Service Corps procurement, training and distribution record given to officer when active service is terminated. Medical Service Corps officer data cards and professional qualifications record destroyed when active service is terminated. Curricula vitae of lecturer/consultants destroyed on termination of status.

System manager(s) and address: Chief, Bureau of Medicine and Surgery

Notification procedure: Request by correspondence should be addressed to Chief, Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372. The request should contain full name, rank, SSAN, file number (if any), and designator. Records may be reviewed at Potomac Annex, 23rd and E Street, N.W. Washington, D.C. 20372, Monday through Friday, except holidays, from 0800 to 1630. The individual should establish his identity with some standard type of identification card showing name and a recent photograph.

Record access procedures: The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories: Military bureaus, Headquarters, offices and commands; educational institutions and training hospitals; Boards, Colleges and associations of professional licensure and medical specialties; letters and telephone conversations from individuals; automated system interfaces.

Systems exempted from certain provisions of the act: None

N00250 FIDELITY BOND

System name: Commercial Fidelity Bond Insurance Records

System location: Commanding Officer, Navy Resale System Office, 3rd Ave. & 29th St. Brooklyn, NY 11232 (for all Navy Exchanges).

Categories of individuals covered by the system: Civilian and military personnel assigned to Navy exchanges, who the duly constituted authority (usually a Board of Investigation appointed by the base Commanding Officer) has established to be guilty of a dishonest act which has resulted in a loss of money, securities or other property, real or personal, for which the exchange is legally liable.

Categories of records in the system: Equipment Loss Reports, Cash and/or Merchandise Loss Reports from Navy exchanges, in-

cluding correspondence relating to losses.

Authority for maintenance of the system: 5 USC 301 and 10 USC 5031

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide information, as required, to the insurance carrier (Fidelity Bond Underwriter) for appropriate coverage, as well as to render appropriate assistance in processing insurance claims.

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

Storage: The media in which these records are maintained varies but includes file folders and ledgers.

Retrievability: Name, payroll number, service number, activity.

Safeguards: Locked file cabinets; locked offices which when open are supervised by appropriate personnel; security guards.

Retention and disposal: Navy exchange records retention standards are contained in the 'Disposal of Navy and Marine Corps Records, Part II, chapters 4 and 5 and/or the Navy Exchange Manual.

System manager(s) and address: Commanding Officer, Navy Resale System Office, 3rd Ave. and 29th St., Brooklyn, NY 11232

Notification procedure: Written contact may be made by addressing inquiries to:

Director, Controller Division (FM)

Navy Resale System Office

3rd Ave. and 29th St.

Brooklyn, NY 11232

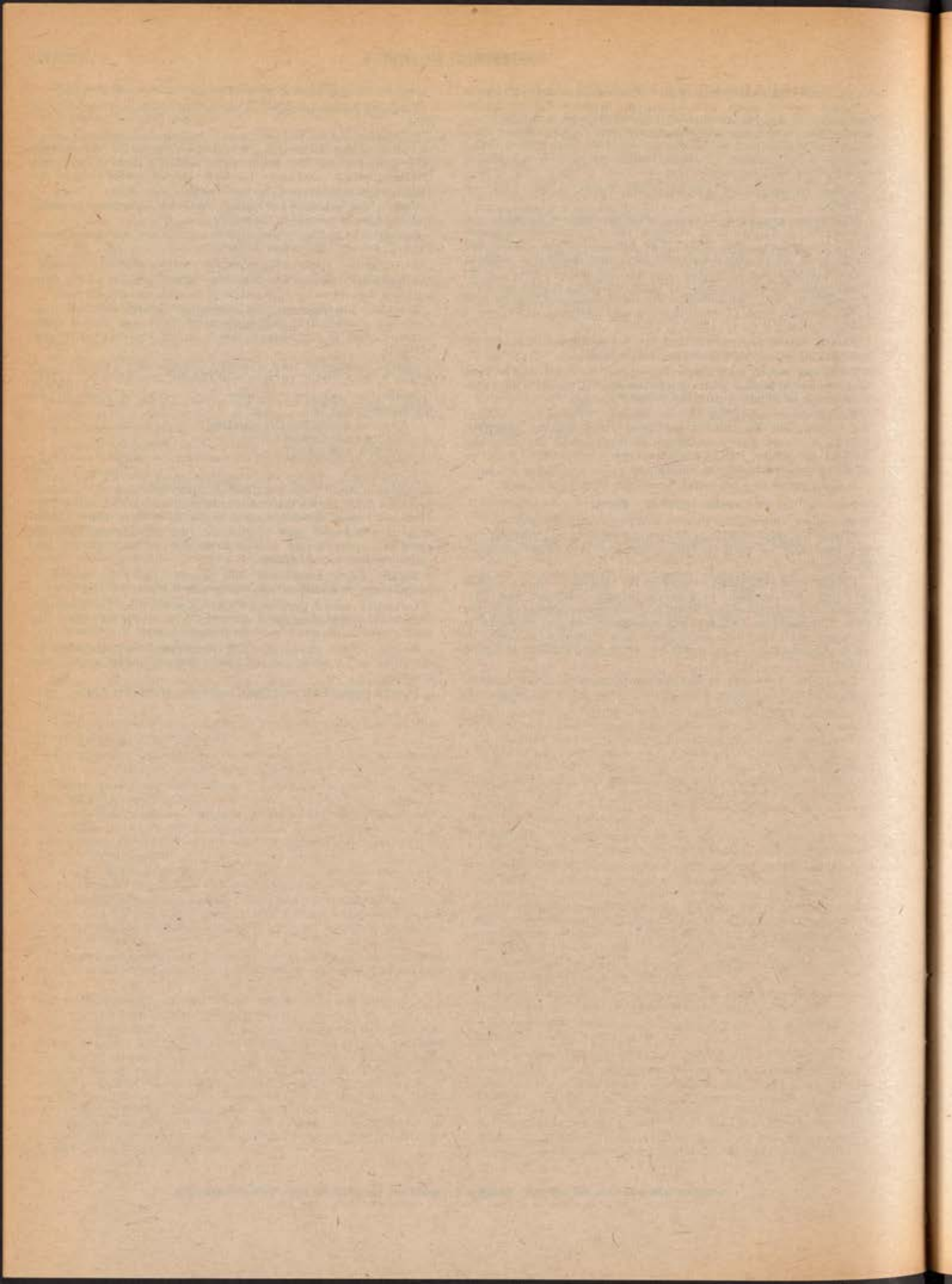
In the initial inquiry the requestor must provide full name, payroll or military service number and activity where they had their dealings. A list of other offices the requestor may visit will be provided after initial contact is made at the office listed above. At the time of a personal visit, requestors must provide the following proof of identity: Name, date of birth, place of birth, father's first name, mother's maiden name.

Record access procedures: The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures: The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories: The individual; the insurance underwriter; audit reports; investigatory reports and/or activity loss records.

Systems exempted from certain provisions of the act: None



DEPARTMENT OF DEFENSE

PRIVACY ACT OF 1974

Notice of Systems of Records

Correction

In FR Doc. 75021075 published in the FEDERAL REGISTER (40 FR 35151) of August 18, 1975 setting forth the systems of records prescribed by the Privacy Act of 1974 within the Department of Defense, the following Department of the Air Force system of records was omitted due to oversight on page 35704, column 2, between record systems notices F19001 02 ALSA and F20002 OLAEQA. Any public comments, including written data, views or arguments concerning the following system of records should be addressed to the system manager identified in the notice on or before September 29, 1975.

F19002 A58WWYK

System name: Home Town News Release Background Data File

System location: United States Air Force Home Town News Center, Tinker Air Force Base, OK 73145. Subsystems of the main system may be located at the Information Office of the Air Force Base or Air National Guard or Air Force Reserve or similar installation to which an individual is assigned.

Categories of individuals covered by the system: Active duty Air Force personnel, Air Reserve or Air National Guard personnel recently selected for promotion, reassigned, awarded a medal or decoration, or who otherwise participated in a newsworthy event.

Categories of records in the system: Biographical information including, but not necessarily limited to name, current grade, marital status, local address, name and address of parents, educational background, and military history; photographs. Information is usually, but not necessarily, contained in a USAF Home Town News Release Form or similar form.

Authority for maintenance of the system: 5 USC 301 and 10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Preparation of news releases for distribution to newspapers and broadcast stations throughout the United States.

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

Storage: Maintained in the file folders in file cabinets.

Retrievability: Filed by name within date of release.

Safeguards: Records are accessed by authorized persons responsible for servicing the records system in the performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal: Retained in Home Town News Center files until 90 days after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Local files may be retained for one year and are then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address: Director of Information, Office of the Secretary of the Air Force, Washington, DC 20330.

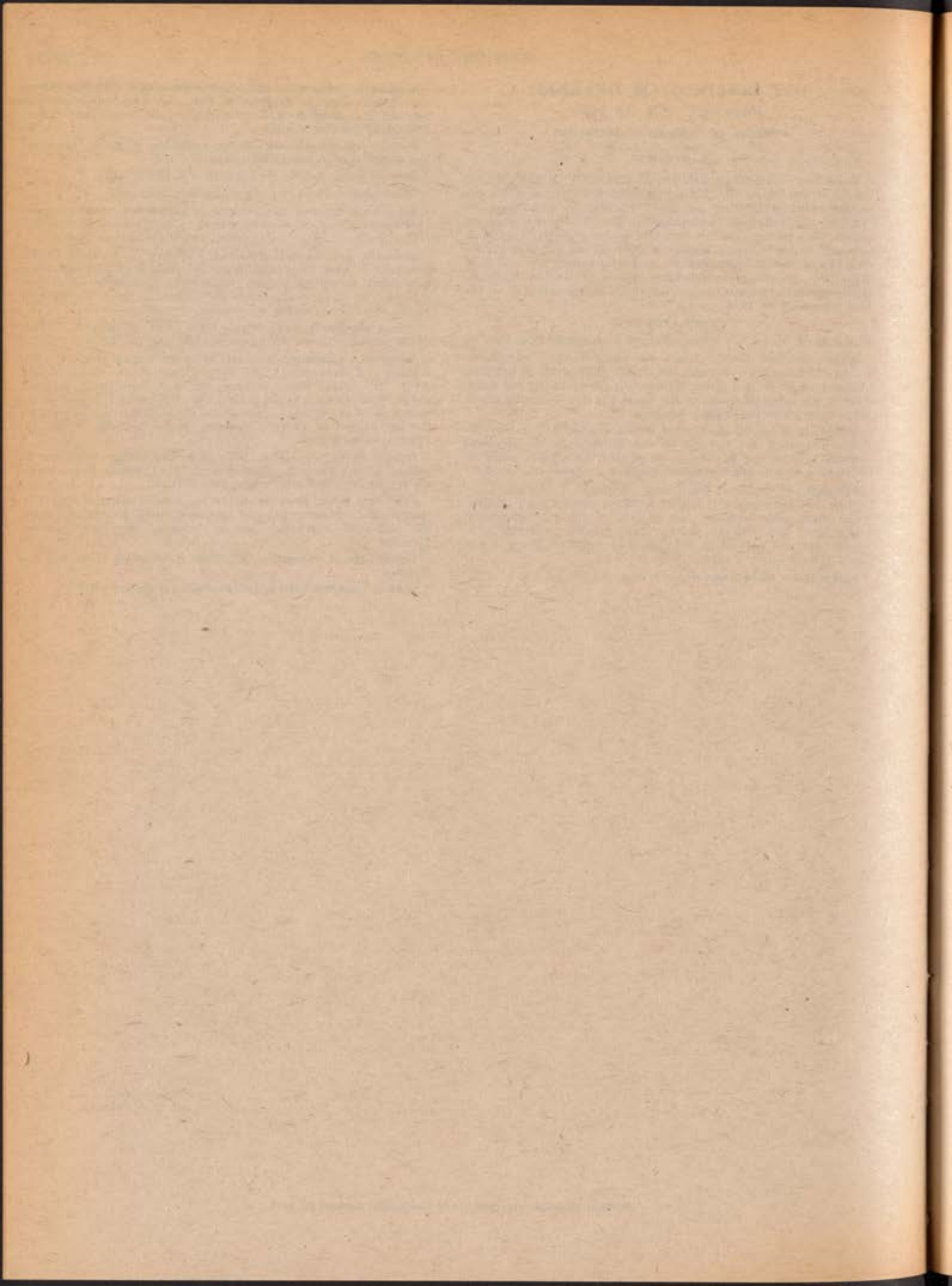
Notification procedure: Requests from individuals should be addressed to Commander, USAF Home Town News Center, Tinker AFB, OK 73145. When inquiring about a subsystem, inquiries should be addressed to the Information Officer at the base or installation of the individual's assignment. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force systems notice.

Record access procedures: Individuals can obtain assistance in gaining access from the Commander, USAF Home Town News Center, or the installation Information Officer.

Contesting record procedures: The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories: Information obtained from the individual.

Systems exempted from certain provisions of the act: NONE



COMMODITY FUTURES TRADING COMMISSION

PROPOSED NOTICES OF SYSTEMS OF RECORDS TO IMPLEMENT THE PRIVACY ACT OF 1974

Pursuant to the provisions of the Privacy Act of 1974, 5 U.S.C. 552a, the Commodity Futures Trading Commission has published proposed rules relating to records maintained by the Commission concerning individuals. The proposed rules deal with an individual's right to know what information the Commission has in its files concerning him, his right to have access to those records, his right to petition the Commission to have inaccurate or incomplete records amended or corrected, and his right not to have personal information disseminated to unauthorized persons (40 Fed. Reg. 32839 (August 5, 1975) 1).

To implement further the requirements of the Privacy Act the Commission is required annually to publish a notice of the existence and character of each "system of records" it maintains which contains information about individuals.¹ When read in conjunction with the Commission's rules, these "system notices" will provide the individual with the information he needs fully to exercise his rights under the Privacy Act. The system notices which the Commission proposes to issue are set forth below.

Each system notice contains the following information:

1. the name and location of the system;
2. the categories of individuals on whom records are maintained in the system;
3. the categories of records maintained in the system;
4. each routine use of the records contained in the system, including the categories of users and the purpose of each use;
5. the policies and practices of the agency regarding storage, retrievability, access controls, retention, and disposal of the records;
6. the title and business address of the agency official who is responsible for the system of records;
7. the agency procedures by which an individual can find out whether the system of records contains a record pertaining to him;
8. the agency procedures by which an individual can find out how he may gain access to any record pertaining to him contained in the system of records, and how he can contest the content of the record; and

¹ The full text of the Commission's rules implementing the Privacy Act should be consulted for a detailed description of the procedures to be followed.

² A "system of records" covered by the Privacy Act is defined as a group of records under the control of the Commission from which information is retrieved by the name of the individual or by some other identifier unique to the individual.

9. The categories of sources of records in the system.³

THE LOCATION OF SYSTEMS OF RECORDS

The first and sixth items described above call for the address of the Commission office involved. The Commission maintains offices in the following locations:

- 1120 Connecticut Ave., NW., Washington, D.C. 20036, Telephone: (202) 254-8630.
- 141 West Jackson Blvd., Room A-1, Chicago, Ill. 60604, Telephone: (312) 353-5990.
- 356 Board of Trade Bldg., 4800 Main St., Kansas City, Mo. 64112, Telephone: (816) 374-2994.
- 61, Broadway, Room 2101, New York, N.Y. 10006, Telephone: (212) 264-1028.
- Two Embarcadero Center, Suite 975, San Francisco, Calif. 94111, Telephone: (415) 556-7503.
- 510 Grain Exchange Bldg., Minneapolis, Minn. 55415, Telephone: (612) 725-2025.

Where multiple locations are involved in a system notice, rather than listing each address the notice merely identifies the offices and refers to this introductory section for each address. In the system notice, the Washington office is referred to as the "principal office," the Chicago, Kansas City and New York offices as the "regional offices," and all offices collectively are described as "all CFTC offices."

In many cases records within a system will not all be available at each of the offices listed in the system notice. For example, investigation files are basically maintained in the office where the investigation is being conducted, but certain information may be maintained in other offices as well. Similarly, many but not necessarily all employee records are maintained in the particular office where the employee works. In addition, the Commission's computer is physically located in Chicago, although information in computer printout form may be available in any office.

Of course, it will be the Commission's responsibility, unless otherwise specified in the system notice, to determine where the particular records being sought are located. However, if the individual seeking the records in fact knows the location, it would be helpful to the Commission if he would indicate that location.

SCOPE AND CONTENT OF SYSTEMS OF RECORDS

The Privacy Act applies to personal information about individuals; it does not apply to the extent that the individual is acting in an entrepreneurial

³ Two systems of records, one relating to investigatory material compiled for law enforcement purposes and the other relating to confidential information obtained during employee background investigations, have been exempted in the Commission's proposed rules from certain requirements of the Privacy Act, as authorized under the Privacy Act, 5 U.S.C. 552a(k). Among the requirements from which these systems have been exempted is the requirement that the information listed under items (7), (8), and (9) above, be furnished.

capacity. Since the Commission's responsibilities pertain to the regulation of business entities or to individuals who are acting in a business capacity, much of the information contained in the Commission's records does not come within the purview of the Privacy Act.

On the other hand, personal information subject to the provisions of the Privacy Act may sometimes be found in a system of records that might appear to relate solely to commercial matters. For example, the system of records entitled "registration of futures commission merchants" contains essentially business information. However, the application for registration contains a few items of personal information concerning key personnel of the registrant firm. Since the capability exists through the Commission's computer to retrieve information from this system of records not only by use of the name of the futures commission merchant but also by the use of the name of these individuals, this information is within the purview of the Privacy Act.⁴

Such a capability would generally not exist, however, in a Commission staff investigation of the activities of the futures commission merchant. Thus, if the investigation were opened under the name of the futures commission merchant, information would be retrievable only under that name. Accordingly, information about principals of a firm under investigation which might be developed during the investigation would generally not be retrievable by the name of the individual, and the provisions of the Privacy Act would not apply.

GENERAL STATEMENT OF ROUTINE USES

A principal purpose of the Privacy Act is to restrict the unauthorized dissemination of personal information concerning the individual. In this connection, the Privacy Act and the Commission's proposed rules prohibit all dissemination except for specific purposes.⁵

The Act and the proposed rules specifically provide that disclosure may be made with the consent of the individual to whom the record pertains. Disclosure may also be made to those officers and employees of the Commission who need the record in the performance of their duties. In addition, disclosures are authorized if they are made pursuant to the terms of the Freedom of Information Act, 5 U.S.C. 552.

In addition, the Privacy Act and the Commission's rules permit disclosure of

⁴ A futures commission merchant is someone engaged in soliciting or in accepting orders for the purchase or sale of commodity futures in the manner defined in Section 2(a) of the Commodity Exchange Act, 7 U.S.C. 2.

⁵ See definition of system of records in footnote 1.

⁶ Individuals should refer to the full text of the Privacy Act, 5 U.S.C. 552a(b) and to the Commission's proposed rules for a complete list of authorized disclosures. Only those arising most frequently have been mentioned herein.

individual records if it is for a "routine use," which is defined as a use of a record which is compatible with the purpose for which it was collected. The system notice for each system of records is required to list each of these routine uses.

Many of the routine uses of Commission records are applicable to a number of systems. These included the following:

1. The information in the system may be used by the Commission in any administrative proceeding before the Commission, in any injunctive action authorized under the Commodity Exchange Act or in any other action or proceeding in which the Commission or any member of the Commission or its staff participates as a party or the Commission participates as *amicus curiae*, and may be disclosed in response to a subpoena issued in the course of a proceeding to which the Commission is not a party.

2. The information may be given to the Justice Department, the Securities and Exchange Commission, the United States Postal Service, the Internal Revenue Service, the Department of Agriculture, the Civil Service Commission and to other federal, state or local law enforcement or regulatory agencies for use in meeting responsibilities assigned to them under law, or made available to any member of Congress who is acting in his capacity as a member of Congress.

3. The information may be given to any board of trade designated as a contract market by the Commission if the Commission has reason to believe this will assist the contract market in carrying out its responsibilities under the Commodity Exchange Act, 7 U.S.C. 1, et seq.

4. At the discretion of the Commission staff, the information may be given or shown to anyone during the course of a Commission inquiry or the investigation if the staff has reason to believe that the person to whom it is disclosed may have further information about the matters discussed therein, and those matters appear relevant to the subject of the investigation.

5. The information may be included in a public report issued by the Commission following an investigation, to the extent that this is authorized under Section 8 of the Commodity Exchange Act, 7 U.S.C. 12. Section 8 authorizes publication of such reports but contains restrictions on the publication of certain types of sensitive business information developed during an investigation. In certain contexts some of this information might be considered personal in nature.

6. The information may be disclosed to a federal agency in response to its request in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the information may be relevant to the requesting agency's decision on the matter.

7. The information may be disclosed to a prospective employer in response to its request in connection with the hiring or retention of an employee, to the extent that the information is believed to be relevant to the prospective employer's decision in the matter.

8. The information may be disclosed to any person, pursuant to Section 12(a)

of the Commodity Exchange Act, 7 U.S.C. 16(a), when disclosure will further the policies of that Act or of other provisions of law. Section 12(a) authorizes the Commission to cooperate with various other government authorities or with "any person."

To avoid unnecessary repetition of these routine uses, where they are generally applicable the system notice refers the reader to the above description. Unless otherwise indicated, where the system notice contains a reference to the foregoing routine uses all of the eight routine uses listed above apply to that system.

Interested persons are invited to express their views and comments on the proposed system notices. Comments are solicited in particular concerning the routine use portion of those notices, and the Commission's method of treating those routine uses as described in the previous paragraph. To be considered, written statements should be submitted to Commodity Futures Trading Commission, Attn.: CCU, 1120 Connecticut Avenue NW., Washington, D.C. 20036, on or before September 18, 1975. All such communications will be available for public inspection.

Issued in Washington, D.C., on August 22, 1975.

WILLIAM T. BAGLEY,
Chairman, Commodity Futures
Trading Commission.

Following are the proposed system notices:

CFTC—1

System name: Complaint Register and Complaint Indices—CFTC

System location: Records in this system are maintained in the Commission's principal office and in each of the regional offices. Addresses and telephone numbers of these offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: a. Persons alleged to have violated or suspected of having violated the Commodity Exchange Act or the rules and regulations adopted thereunder.

b. Persons lodging complaints with the Commission.

Categories of records in the system: The records in this system include:

a. The complaint register, a summary of complaints received from the public concerning an individual (or business entity) as well as a summary of leads as to possible areas of violation which were developed from other sources. A complaint number is assigned to each case and the record is filed according to that number. The register also, among other matters, names the individual complained about, his employer, the name of the complainant, the type of complaint, the date received, the disposition, the date closed and the investigator assigned.

b. The complaint index, which contains a summary of the same information as the complaint register, but is maintained alphabetically by the name of the person who is the subject of the complaint.

c. The complainant index, which contains a summary of the same information as the complaint register but is maintained alphabetically by the name of the complainant.

Authority for maintenance of the system: Section 8 of the Commodity Exchange Act, 7 U.S.C. 12.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders, binders and on index cards.

Retrievability: Information in the register is retrievable by assigned complaint number. This is cross-indexed to the individual's name through the complaint index and complainant index.

Safeguards: Records are located in secured rooms or on secured premises with access limited to those whose official duties require access. In appropriate cases the records are maintained in lockable file cabinets.

Retention and disposal: The index is maintained indefinitely. The register is maintained on the premises for 5 years, then in the Federal Records Center for 5 years before being destroyed.

System manager(s) and address: The Director of the Compliance Bureau in the Commission's principal office and the Regional Administrator of each of the regional offices. Addresses of these offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission; 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: Persons submitting complaints to the Commission; other miscellaneous sources including customers, other law enforcement and regulatory agencies, commodity exchanges, various trade sources, and items generated internally by the Commission staff.

CFTC—2

System name: Correspondence Files—CFTC

System location: These records are maintained in the Commission's principal offices at 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Categories of individuals covered by the system: Persons corresponding with the Commission, directly or through attorneys or other representatives. Persons discussed in correspondence to or from the Commission.

Categories of records in the system: This system contains incoming and outgoing correspondence and indices of correspondence, and certain internal reports and memoranda related to the correspondence.

This system does not include all Commission correspondence, but only those records which are part of a general correspondence file maintained by the office involved. It does not include correspondence indexed by subject matter, by date or by assigned number, unless there is a cross indexing capability by individual name. It does, however, include correspondence files maintained by the Office of Public Information relating to requests by individuals under the Freedom of Information Act and the Privacy Act.

Authority for maintenance of the system: 44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders, in looseleaf binders, or on index cards.

Retrievability: By name. This may be the name of the person who sent the letter, the person who received the letter, or the person on whose behalf the letter was sent or received. On occasion it may also be another person who was the principal subject of the letter, where circumstances appear to justify this treatment. See previous discussion concerning the category of records maintained in this system.

Safeguards: Records are located in secured rooms or on secured premises with access limited to those whose official duties require access.

Retention and disposal: These records are maintained indefinitely or for varying periods of time depending on the policies and practices of the offices involved.

System manager(s) and address: The system managers include: a. the General Counsel; b. the Director of the Office of Public Information; c. the Director of the Compliance Bureau; d. the Chief of the Correspondence Control Unit. All are located at 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission; 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036, Telephone: (202) 254-8630. The request should specify the system manager under whose jurisdiction the records are maintained, if known.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: Persons corresponding with the Commission and correspondence and memoranda prepared by the Commission.

CFTC—3

System name: Docket Files—CFTC

System location: The records are maintained in the Office of Hearings and Appeals in the Commission's principal offices at 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Categories of individuals covered by the system: Parties and other persons involved in any CFTC proceeding.

Categories of records in the system: The records in this system include all pleadings, motions, applications, stipulations, affidavits,

transcripts and documents introduced as evidence, briefs, orders, findings, opinions, and other matters which are part of the record of an administrative proceeding. They also contain related correspondence and indices.

Authority for maintenance of the system: The Commission is authorized or required to conduct hearings under several provisions of the Commodity Exchange Act. The maintenance of these files is a necessary concomitant for the conduct of orderly hearings. See also 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These are public records, except to the extent the Commission or the assigned hearing officer determines they may be treated as non-public consistent with the provisions of the Freedom of Information Act and that for good cause they should be treated as non-public. Non-public portions may be used for any purpose specifically authorized by the hearing officer who ordered non-public treatment or by the Commission.

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

Storage: Paper records in file folders.

Retrievability: These records are filed by the docket number and cross-indexed by the respondent's name, and his attorney's name.

Safeguards: The information in these files is in most cases a matter of public record. Those items which the Commission or the hearing officer has directed be kept non-public are segregated and precautions are taken to assure that access is restricted only to authorized personnel.

Retention and disposal: These records are maintained in the files of the Commission indefinitely.

System manager(s) and address: Director of Hearings and Appeals, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: Commission staff members; opposing parties; their attorneys; witnesses in the proceeding; the hearing officer assigned to the proceeding; and other miscellaneous sources.

CFTC-4

System name: Employee Leave, Time and Attendance—CFTC

System location: These records are maintained by all CFTC offices at the notices under the caption "location of systems of records."

Categories of individuals covered by the system: All CFTC employees.

Categories of records in the system: This system includes various records reflecting a breakdown of time and attendance of CFTC employees, and a record of leave status.

Authority for maintenance of the system: 5 U.S.C. 6301-6323; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. This information may be provided to other federal agencies in response to requests for the purpose of hiring or retaining employees, and may be provided to other prospective employers, to the extent that the information is relevant to the prospective employer's decision in the matter.

b. The information may be provided to the Justice Department or other federal agencies or used by the Commission in connection with any investigation, or administrative or legal proceeding involving any violation of any federal law or requirement thereunder.

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

Storage: Paper records in file folders or on index cards.

Retrievability: By the name of the employee or by the employee number, cross-indexed by name.

Safeguards: The records are maintained in locked cabinets.

Retention and disposal: Records for current employees are maintained for three years; the final record of former employees is maintained for ten years, then destroyed.

System manager(s) and address: For employees of the Commission's principal office records are maintained by the Budget Officer. For regional office employees, records are maintained by the administrative officer in each CFTC office. Addresses of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The individual on whom the record is maintained.

CFTC-5

System name: Employee Personnel Records—CFTC

System location: These records are maintained in the principal office and in the regional offices. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: All CFTC employees.

Categories of records in the system: Miscellaneous records relating to personnel matters. Information maintained at the local level includes among other matters: a. the service record, containing the employee's name, birth date, social security number, veterans preference, tenure group, service computation date, insurance information, retirement, current residence and phone number, marital status, and emergency phone number; b. other unofficial files including the employment application and related employment papers, copies of earnings statements, personnel actions, copies of Government ID cards such as motor vehicle operator's license, applications for bond withholding, tax withholding and records of other withholding such as life insurance and health benefits.

The records maintained in the principal office for all employees include: a. forms required and records maintained under the Commission's rules of conduct; b. pre-employment inquiries not included within "exempted employee background investigation materials;" c. various summary materials received in computer printout form from the National Finance Center - U.S. Department of Agriculture based on information provided by the Commission from its personnel records; d. card indices reflecting various information contained in other personnel records.

The official personnel records maintained by the Commission are described in the system notices published by the Civil Service Commission, and are not included within this system.

Authority for maintenance of the system: 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. This information may be provided to other federal agencies in response to requests for the purpose of hiring or retaining employees, and may be provided to other prospective employers, to the extent that the information is relevant to the prospective employer's decision in the matter. b. The information may be provided to the Justice Department, the Civil Service Commission or other federal agencies or used by the Commission in connection with any investigation, or administrative or legal proceeding involving any violation of federal law or requirement thereunder.

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

Storage: Paper records in file folders and on index cards.

Retrievability: By the name of the employee.

Safeguards: The records are maintained in lockable cabinets.

Retention and disposal: The records are maintained in the current file until the employee is terminated or separated, retained for 2 years thereafter and then destroyed.

System manager(s) and address: The Personnel Officer of the Commission is the system manager for all records maintained in the Commission's principal office. The system manager for records maintained in the regional offices is the Administrative officer for that Region. Addresses of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: Individual on whom the record is maintained; personnel office records; and other miscellaneous sources.

CFTC-6

System name: Employee Travel Records—CFTC

System location: These records are maintained by all CFTC offices at the addresses set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: Any Commission member or employee or any member of an Advisory Committee who travels on official business for the Commission.

Categories of records in the system: Contains the name, address, destination, itinerary, mode and purpose of travel, dates, expenses, amounts advanced, amounts claimed, amounts reimbursed. Includes travel authorizations, travel vouchers, copies of government transportation requests, receipts and other records.

Authority for maintenance of the system: Budget and Accounting Act of 1921, 31 U.S.C. 1, et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information may be provided to the Justice Department or other federal agencies or used by the Commission in connection with any investigation, or administrative or legal proceeding involving any violation of federal law or requirement thereunder.

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

Storage: Paper records in file folders.

Retrievability: By the name of the employee; by employee number.

Safeguards: The records are maintained in lockable cabinets.

Retention and disposal: Records are maintained for three years and then destroyed.

System manager(s) and address: For employees in the Commission's principal office the records are maintained by the Budget Officer. For other employees, records are maintained by the administrative officer in each CFTC regional office. Addresses of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The individual on whom the record is maintained.

CFTC-7

System name: Employee Records Maintained by the National Finance Center/USDA—CFTC

System location: National Finance Center, U.S. Department of Agriculture, New Orleans, Louisiana 70160.

Categories of individuals covered by the system: All CFTC employees.

Categories of records in the system: The National Finance Center is used by the Commission to provide data processing capability for various personnel, payroll and accounting related matters. The records in the system include:

a. General records relating to the employee including information from the notification of personnel action (Form 350 and 350A) prepared and submitted by the CFTC, and other related sources. The information includes the name, social security or other employee number, birth date, veteran's preference, tenure, leave group, insurance coverage, retirement coverage, type of employment, date service commenced and ended, title of position, number of position, grade and step, base salary, duty station, various computation dates, leave codes and status, employing office and other miscellaneous information.

b. Various payroll related information for CFTC employees, including payroll and leave data for each employee relating to rate and amount of pay, leave, and hours worked, and leave balances, tax and retirement deductions, life insurance and health insurance deductions, savings allotments, savings bond and charity deductions, mailing addresses and home addresses. This includes copies of the CFTC time and attendance reports as well as authorizations relating to deductions.

c. Travel vouchers and related material.

Authority for maintenance of the system: 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information from these records is transmitted to the U.S. Treasury to effect reimbursement of travel expenses and issuance of paychecks, as well as distribution of pay to other sources according to employee instructions. Appropriate information from these records is also forwarded to taxing authorities and others receiving proceeds from the employee's pay.

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

Storage: Paper records in file folders; magnetic tape.

Retrievability: Indexed by social security number or equivalent employee number and by name of employee.

Safeguards: Protection is afforded by limiting access to the offices where the records are maintained. Certain records are kept in lockable file cabinets.

Retention and disposal: Records are maintained indefinitely on tape; paper records are sent to the Federal Records Center after an

Categories of records in the system: The records in this system consist of investigatory materials compiled for law enforcement purposes, whose disclosure the Commission staff has determined could impair the effectiveness and orderly conduct of the Commission's regulatory and enforcement program, or compromise Commission investigations. This exemption could include all or any part of the records developed during the investigation or inquiry.

Authority for maintenance of the system: Section 8 of the Commodity Exchange Act, 7 U.S.C. 12; 44 U.S.C. 3101; 5 U.S.C. 552a(k)(2).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses" except that those general routine uses numbered (5) and (7) are not applicable.

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

Storage: Paper records in file folders.

Retrievability: The records are maintained by assigned case number or by the title of the case. Cases filed by number are cross-indexed by case title.

Safeguards: In addition to normal office and building security, certain of those records are maintained in locked file cabinets. All employees are aware of the sensitive nature of the information gathered during investigations.

Retention and disposal: The records are maintained in this system until it is determined that exemption is no longer necessary. They are then returned to the appropriate non-exempt system.

System manager(s) and address: General Counsel, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Systems exempted from certain provisions of the act: The records in this system have been exempted by the Commission from certain provisions of the Privacy Act of 1974 pursuant to the terms of the Privacy Act, 5 U.S.C. 552a(k)(2) and the Commission's rules promulgated thereunder, 17 CFR 146.12. These records are exempt from the notification procedures, record access procedures and record contest procedures set forth in the system notices of other record systems, and from the requirement that the sources of records in the system be described, appropriate period.

System manager(s) and address: Director, National Finance Center, U.S. Department of Agriculture, Office of Management and Finance, New Orleans, Louisiana 70160.

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: Records furnished by the CFTC.

CFTC-8

System name: Employment Applications—CFTC

System location: These records are maintained in the Commission's principal offices at 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Categories of individuals covered by the system: Applicants for positions with the CFTC.

Categories of records in the system: Contains the application form (SF 171) and/or the resume of the person applying.

Authority for maintenance of the system: 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information from these records is used in making inquiries concerning the qualifications of the applicant.

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

Storage: Paper records in file folders.

Retrievability: Indexed by the name of the applicant; cross-indexed by interest.

Safeguards: These records are maintained in a locked file cabinet.

Retention and disposal: Applications are maintained two years, then destroyed.

System manager(s) and address: Personnel Office, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The individual on whom the record is maintained.

CFTC-9

System name: Exempted Employee Background Investigation Material—CFTC

System location: These records are maintained in the Personnel Office of the Commission's principal offices at 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Categories of individuals covered by the system: Employees and prospective employees of the CFTC.

Categories of records in the system: The records in this system contain investigatory material compiled for the purpose of determining suitability, eligibility, or qualifications for employment with CFTC, which were obtained under an express promise that the identity of the source would be held in confidence, or which were obtained prior to September 28, 1975, under an implied promise of confidentiality.

Authority for maintenance of the system: 44 U.S.C. 3101; 5 U.S.C. 552a(k)(5).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses" except that those general routine uses numbered (3) and (5) are not applicable. Disclosure pursuant to the other routine uses may be subject to the consent of the person furnishing the information.

CFTC-10

System name: Exempted Investigatory Records—CFTC

System location: These records are maintained in the Commission's principal offices and in each of the regional offices. The address and telephone number of each of these offices is set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: a. Individuals whom the staff of the Commission has reason to believe have violated, are violating, or are about to violate the Commodity Exchange Act and the rules, regulations and orders promulgated thereunder.

b. Individuals whom the staff of the Commission has reason to believe may have information concerning violations of the Commodity Exchange Act and the rules, regulations and orders promulgated thereunder.

c. Individuals involved in investigations authorized by the Commission concerning the activities of members of the Commission or its employees based upon formal complaint or otherwise.

d. Individuals filing Form 4-R (registration as an associated person) or Form 94 (biographical information questionnaire) in connection with an application for registration with the Commission.

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

Storage: Paper records in file folders.

Retrievability: By the name of the employee.

Safeguards: The records are maintained in lockable cabinets in secured offices or in secured buildings.

Retention and disposal: These records are maintained for 3 years, then destroyed by shredding.

System manager(s) and address: Personnel Officer, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Systems exempted from certain provisions of the act: The records in this system have been exempted by the Commission from certain provisions of the Privacy Act, 5 U.S.C. 552a(k)(5), and the Commission's rules promulgated thereunder, 17 CFR 146.12. These records are exempt from the notification procedures, record access procedures and record contest procedures set forth in the system notices of other record systems, and from the requirement that the sources of records in the system be described.

CFTC-11

System name: Fitness Files—CFTC

System location: These files are maintained in the Commission's regional offices, at the addresses set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: Applicants for and registrants as: (1) floor brokers; (2) general partners, sole

proprietors, officers, major stockholders, directors, branch office managers; and agents of futures commission merchants; (3) partners, sole proprietors, officers, directors of and persons performing similar functions for commodity trading advisors; (4) partners, sole proprietors, officers, directors, and persons performing similar functions for commodity pool operators.

Categories of records in the system: Contains various information pertaining to the fitness of the above-described persons to engage in business subject to the Commission's jurisdiction. The system includes the biographical information questionnaire (Form 94) received from applicants and registrants as part of the registration process (see the system notices for the various types of registration under the Commodity Exchange Act.) It also includes correspondence between the Commission and the applicant, the commodity exchanges, other government agencies and other persons relating to the individual's fitness. In addition, certain ancillary records, such as card indexes, are maintained summarizing the status and result of fitness checks.

Authority for maintenance of the system: Sections 8a(2)(B) and 4n(1) of the Commodity Exchange Act, 7 U.S.C. 12a(2)(B) and 7 U.S.C. 6n(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these uses under the caption "general statement of routine uses."

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

Storage: Paper records in file folders and on index cards.

Retrievability: By name of the individual.

Safeguards: Protection of records is afforded by general office security measures. Records are located in secured rooms or on secured premises with access limited to those whose official duties require access. In appropriate cases the records are maintained in lockable file cabinets.

Retention and disposal: Primary records are maintained permanently on the premises as long as the individual is registered or is associated with a registrant in one of the capacities specified in the previous description of the category of individuals. These records are updated periodically. Other records are maintained on the premises for five years, then held in the Federal Records Center for five years before being destroyed.

System manager(s) and address: The Regional Administrator of the Region where the records are located. Addresses of the CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of their inquiries to the Privacy Unit, Commodity Futures Trading Commission; 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The individual on whom the record is maintained, his employer, commodity and stock exchanges, other government agencies, and other persons with relevant information concerning an individual's fitness.

CFTC-12

System name: Fitness Investigations—CFTC

System location: These records are located in the Bureau of Registration and Audit in the Commission's principal offices at 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036.

Categories of individuals covered by the system: Applicants for and registrants as (1) partners, sole proprietors, officers, directors, major stockholders, branch office managers and agents of futures commission merchants; (2) associated persons of futures commission merchants or their agents; (3) floor brokers, (4) partners, sole proprietors, officers, directors, and persons performing similar functions for commodity trading advisors; (5) partners, sole proprietors, officers, directors, persons performing similar functions for commodity pool operators.

Categories of records in the system: Contains various information pertaining to the fitness of the above-described persons to engage in business subject to the Commission's jurisdiction. The file includes the application for registration as an associated person (Form 4-R) or the biographical information questionnaire (Form 94). It also includes correspondence, reports and memoranda reflecting information developed from various sources outside the agency. This system contains records reflecting a somewhat more in-depth investigation than does the regional office inquiry included in the "Fitness Files" and "Registration and Fitness of Associated Persons" systems of records.

Authority for maintenance of the system: Section 8a(2)(B) of the Commodity Exchange Act, 7 U.S.C. 12a(2)(B).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders.

Retrievability: By the name of the individual.

Safeguards: Records are maintained in locked cabinets. Further protection is afforded by limiting access to the office where the record is maintained to those whose official duties require access.

Retention and disposal: The records are maintained on the premises for 5 years, then held in the Federal Records Center for 5 years before being destroyed.

System manager(s) and address: Director, Bureau of Registration and Audit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission; 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The individual on whom the record is maintained, his employer, federal, state and local regulatory and law enforcement agencies, commodity and stock exchanges, National Association of Security Dealers, and other miscellaneous sources.

CFTC-13

System name: Interpretation Files—OGC—CFTC

System location: These files are maintained in the Office of the General Counsel at 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Categories of individuals covered by the system: Persons who have requested the Office of the General Counsel to provide them with its interpretation of provisions of the Commodity Exchange Act or various rules and regulations adopted by the Commission. The requests may have been made directly by the individual, or through his attorney or other representative.

Categories of records in the system: This file contains the interpretation letters furnished, the request for an interpretation, and any related internal memoranda and supporting documents.

Authority for maintenance of the system: Section 2(a)(4) of the Commodity Exchange Act, 7 U.S.C. 4a(c); 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. Interpretation letters and the related requests for interpretation which discuss matters of general applicability may be made public and may be published by the Commission, or the Commission may otherwise make information public concerning matters raised therein. However, portions of such letters or information will be deleted or omitted to the extent necessary to prevent a clearly unwarranted invasion of personal privacy or to the extent they otherwise contain material considered nonpublic under the Freedom of Information Act and the Commission's rules implementing that Act.

b. Information in these files may be used as a reference in responding to later inquiries from the same party or in following up on earlier correspondence involving the same persons.

c. Other routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders.

Retrievability: The records are maintained under the name of the futures commission merchant, floor broker, commodity pool operator, commodity trading advisor or associated person if the request is made by them or on their behalf. If it is made on behalf of another individual, it will be filed by the name of the individual. If the identity of these persons is not known, the record will be maintained in the name of the attorney or other representative filing the request.

Safeguards: Protection of records is afforded by general office security measures. Access to records in the Office of the General Counsel is limited to those whose official duties require access.

Retention and disposal: These files are maintained indefinitely in the Office of the General Counsel.

System manager(s) and address: General Counsel; Commodity Futures Trading Commission; 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit; Commodity Futures Trading Commission; 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The requests are submitted by the person seeking the interpretation or his attorney or other representative. The responses are prepared by attorneys in the Office of the General Counsel based on information furnished by the person making the request, as well as the attorney's own experience and information developed from other sources.

CFTC-14

System name: Investigation Files—CFTC

Security classification: These records are maintained in the Commission's principal office and in the regional offices. Files concerning pending investigations may be located in other Commission offices when the investigation is being conducted by those offices. Addresses of Commission offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: a. Individuals whom the staff of the Commission has reason to believe have violated, are violating, or are about to violate the Commodity Exchange Act and the rules, regulations, and orders promulgated thereunder, or the rules and regulations of any board of trade designated as a contract market. b. Individuals whom the staff of the Commission has reason to believe may have information concerning violations of the Commodity Exchange Act and the rules, regulations, and orders promulgated thereunder, or the rules and regulations of any board of trade designated as a contract market. c. Individuals involved in investigations authorized by the Commission concerning the activities of members of the Commission or its employees based upon formal complaint or otherwise.

Categories of records in the system: Contains anything obtained during the course of an investigation, including data from Commission reporting forms, account statements and other trading records, exchange records, bank records and credit information, business records, reports of interviews, transcripts of testimony, exhibits to transcripts, affidavits, statements by witnesses, contracts and agreements. Also contains internal memoranda, reports of investigation, subpoenas, warning letters, stipulations of compliance, correspondence and other miscellaneous matters. The nature of the personal information contained in these files varies according to

what is considered relevant to the attorney assigned to the case based on the circumstances of the particular case under investigation. For example, the file may contain personal background information about the individual involved, his education and employment history, information on prior violations, and a wide variety of financial information, as well as detailed examination of the individual's activities during the period in question.

Authority for maintenance of the system: Section 8 of the Commodity Exchange Act, 7 U.S.C. 12; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders.

Retrievability: Filed by assigned case number, cross referenced to case name. Except where the name of the individual is included in the case name, information about individuals involved in the investigation is not retrievable by name.

Safeguards: In addition to normal office and building security, certain of these records are maintained in locked file cabinets. All employees are aware of the sensitive nature of the information gathered during investigations.

Retention and disposal: Regional office records are maintained on the premises for 5 years, then sent to the Federal Records Center for 5 years, before being destroyed. The records in the Office of the General Counsel are generally maintained until the investigation is closed and any action arising therefrom has been completed, including all review at the appellate level. Thereafter, certain basic information may be retained and sent to the Federal Records Center, while the remaining information is either returned to the person from whom it was obtained or destroyed.

System manager(s) and address: The General Counsel and the Director of the Compliance Bureau in the Commission's principal office. The Regional Administrator of the Region where the investigation is being conducted. Addresses of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: a. Reporting forms and other information filed with the Commission; b. boards of trade; c. futures commission merchants, commodity trading advisors, commodity pool operators, floor brokers; d. federal, state and local regulatory and law enforcement agencies; e. banks, credit organizations and other institutions, pursuant to subpoena or otherwise; f. corporations, pursuant to subpoena or otherwise; g. individuals having knowledge of the facts, pursuant to subpoena or otherwise; h. attorneys; i. publications; j. courts; and k. other miscellaneous sources.

CFTC-15

System name: Large Trader Report Files—CFTC

System location: Copies of original reports and related correspondence are maintained in the CFTC office where they are filed. See further description below. Ancillary records and information in computer printout form may be located in some or all CFTC offices. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of system of records."

Categories of individuals covered by the system: Individuals who have held reportable positions, as defined and described in Part 15 of the Commission's rules and regulations, in any commodity future.

Categories of records in the system: 1. Reports filed by the individual holding the reportable position:

- Statements of Reporting Trader (CFTC Form 40). Contains information described in Part 18 of the Commission's rules and regulations, including the name, address, telephone number, and principal occupation of the reporting trader, the kind of commodity futures account, and information about his business associates.
- Large trader reporting form (Series 03 Form). Contains information described in Part 18 of the Commission's rules and regulations, including the trader's identifying number, his previous open contracts, his trades and deliveries that day, his classification as to speculative or hedging.
- Large trader reporting form (Series 04 Form). Contains information described in Part 19 of the Commission's rules and regulations, to be filed by merchants, processors and dealers in certain commodities who hold a reportable position in those commodities on any futures market. Includes trader's identifying number, stocks owned, unfilled fixed price purchase commitments, unfilled fixed price sale commitments.

These reports are filed in the CFTC office in the city where the reporting trader is located. If there is no CFTC office in that city, the reports are filed according to specific instructions of the CFTC.

2. Reports to be filed by futures commission merchants and foreign brokers

- Identification of "Special Accounts" (CFTC Form 102). Contains material described in Part 17 of the Commission's rules and regulations. Includes the name, address, and occupation of a customer whose accounts have reached the reporting level. Also includes the account number which the futures commission merchant uses to identify this customer on the firm's 01 report (see next paragraph), and whether the customer has control or manages accounts of other traders.
- Large trader reporting form (Series 01 Form). Contains material described in Part 17 of the Commission's rules and regulations, for each "special account". Shows customer account number and reportable position held in each commodity future.

These reports are filed in the CFTC office in the city where the contract market involved is located. If there is no CFTC office in that city, they are filed in the office where the CFTC instructs that they be filed.

3. Computer records prepared from information on the forms described in items (1) and (2) above. The computer system is located in Chicago. Printouts may be located in some or all of the Commission's offices and suboffices.

4. Correspondence and memoranda of telephone conversations between the Commission and the individual or between the Commission and other agencies dealing with matters of official business concerning the individual.

5. Other miscellaneous information, including intra-agency correspondence and memoranda concerning the individual and documents relating to official actions taken by the Commission against the individual.

Authority for maintenance of the system: Sections 4g, 4i, and 8 of the Commodity Exchange Act, 7 U.S.C. 6g, 6i and 12.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders, computer records in computer memory and in computer printout form.

Retrievability: Form 40, Form 102, correspondence and other miscellaneous information are maintained directly under the name of the reporting trader. The Series 01, 03, and 04 forms are maintained by identifying code number. However, information from these forms is included in the computer and retrievable by individual name from the computer.

Safeguards: Protection of records is afforded by general office security measures, with recent trading reports stored in lockable file cabinets. Access is limited to those whose official duties require access.

Retention and disposal: CFTC Form 40, CFTC Form 102, correspondence, memoranda, etc. are retained on the premises until

the account has been inactive for 10 years and then destroyed. Form 01, 03, and 04 reports are maintained for 2 years on the premises and then held at the Federal Records Center for 3 years before being destroyed. The computer file is maintained for 10 years for Form 01, 03 and 04 reports. The computer memory on other items of information is maintained indefinitely.

System manager(s) and address: The Regional Administrator of the Region where the records are located. Addresses of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630. The individual should include the code number assigned to him by the Commission for filing such reports, the name of the futures commission merchant through whom he trades, and the time period for which information is sought.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The individual on whom the record is maintained and futures commission merchants through whom the individual trades. Correspondence and memoranda prepared by the Commission or its staff. Correspondence from firms, agencies, or individuals requested to provide information on the individual.

CFTC-16

System name: Litigation Files—CFTC

System location: Files in this system of records are maintained in the Compliance Bureau in the Commission's principal office and in the regional offices. For pending litigation, files may also be located in other offices participating in the litigation. Addresses and telephone numbers of CFTC offices are set forth in the introduction to the system notices under the caption "location of systems of records."

Categories of individuals covered by the system: Persons or firms against whom the Commission has issued a complaint based on violations of the Commodity Exchange Act or the rules and regulations promulgated thereunder.

Categories of records in the system: The file contains copies of various papers filed by or with the Commission or the courts in connection with administrative proceedings or injunctive actions brought by the Commission. It includes, as a minimum, a copy of the complaint and the final decision and order, and may contain other documents as well.

Authority for maintenance of the system: The maintenance of these files is necessary to the orderly and effective conduct of various litigation authorized under the Commodity Exchange Act and other Federal statutes. See e.g., Section 6c of the Commodity Exchange Act, 7 U.S.C. 13a-1, authorizing injunctive actions, and various provisions in that Act authorizing administrative actions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in these files is generally a matter of public record and may be disclosed without restriction. In other cases the routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in folders or binders.

Retrievability: Administrative proceedings are maintained by docket number, cross-indexed by the name of the individual or firm named as respondent, and by the section of the Commodity Exchange Act which has been violated. Other actions are filed alphabetically by the caption of the case.

Safeguards: Protection of non-public records is afforded by general office security measures. Records are located in secured rooms or on secured premises with access limited to those whose official duties require access.

Retention and disposal: These files are maintained indefinitely, although when the action is completed they are usually reduced to only the complaint and the final decision and order.

System manager(s) and address: These records are maintained by the Director of the Compliance Bureau at the Commission's principal office and by the Regional Administrator for the Region where the records are located. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The information is generally obtained from the parties or their attorneys, or from the Commission's Office of Hearings and Appeals or the relevant court.

CFTC-17

System name: Litigation Files—OGC-CFTC

System location: Files in this system are maintained in the Office of the General Counsel in the Commission's principal office at 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Categories of individuals covered by the system: Parties involved in litigation with the Commission or including, but not limited to:

- administrative proceedings before the Commission;
- injunctive actions brought by the Commission;
- other federal court cases to which the Commission is a party;
- litigation in which the Commission is participating as amicus curiae;
- other cases involving issues of concern to the Commission, including those brought by other law enforcement and regulatory agencies and those brought by private parties.

Categories of records in the system: These files consist primarily of papers comprising or included in the record of the case and briefs and correspondence related to that action. There may be included also other documents pertaining to the matter being litigated, including internal memoranda.

Authority for maintenance of the system: The Commodity Exchange Act, 7 U.S.C. 2 et seq. entrusts the Commission with broad regulatory responsibilities over commodity futures transactions. In this connection, the Commission is authorized to bring both administrative proceedings and injunctive actions where there appear to have been violations of the Act. Furthermore, to effectuate the purposes of the Act, it is necessary that the Commission staff be familiar with developments in other actions brought by others which have implications in the commodity law areas.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The information in these files is generally a matter of public record and may be disclosed without restriction. In other cases the routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders.

Retrievability: Cases are classified according to type, i.e., administrative proceedings, injunctive actions brought by the Commission, and other litigation. Within those classifications, actions are filed by caption of the case.

Safeguards: Protection of non-public records is afforded by general office security measures. Records are located in secured rooms or on secured premises with access limited to those whose official duties require access.

Retention and disposal: The record is maintained until the action is completed, including final review at the appellate level. Thereafter, a skeletal record of pleadings, briefs, findings and opinions and other particularly relevant papers may be maintained indefinitely. Other materials are generally destroyed except insofar

as a copy of some of the documents may be kept in the Office's "precedent files" for use in later legal research or preparation of filings in other matters.

System manager(s) and address: General Counsel, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The information is generally obtained from the court or regulatory authority before whom the action is pending or from the attorneys for one of the parties named in the action, although it may on occasion come from other sources.

CFTC-18

System name: Logbook on Speculative Limit Violations—CFTC

System location: Records in this system are located in the Commission's regional offices in Chicago and New York. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: Record of all individuals who have exceeded speculative limits in a particular fiscal year.

Categories of records in the system: This record consists of a listing, by year, of the violations of speculative limits imposed by the Commission and the exchanges. It includes the trader's assigned code number, the commodity involved, the name of the trader, the type of violation, the date of violation, the date the violation ceased, and the action taken. Copies of warning letters and replies pertaining to the violations listed are maintained with the logbook.

Authority for maintenance of the system: Sections 4(i) and 8 of the Commodity Exchange Act, 7 U.S.C. 6i and 7 U.S.C. 12.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders.

Retrievability: Listed by fiscal year, and within each year may be retrieved by the name of the violator.

Safeguards: Protection against unauthorized disclosure is afforded by general office security measures. Records are located in secured rooms or on secured premises with access limited to those whose official duties require access.

Retention and disposal: The records are maintained on the premises for 5 years, then held in Federal Records Center for 15 years before being destroyed.

System manager(s) and address: Regional Administrator, Commodity Futures Trading Commission, 141 West Jackson Blvd., Room A-1, Chicago, Illinois 60604; Regional Administrator, Commodity Futures Trading Commission, 61 Broadway, Room 2101, New York, New York 10006.

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: Series '03 reports filed by traders. Correspondence prepared by the Commission or by the individual or his representative.

CFTC-19

System name: Petitions and Rulings

System location: These records are maintained in the Office of Hearings and Appeals in the Commission's principal office located at 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Categories of individuals covered by the system: All persons named in an Application for Institution of a Proceeding before the CFTC or its predecessors.

Categories of records in the system: This system contains the application and supporting documentation of the person submitting the application.

Authority for maintenance of the system: The maintenance of these records is ancillary to the Commission's authority to institute administrative proceedings. See also 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders.

Retrievability: The records in this system are maintained by the number and caption assigned to the application. Generally, the caption will be the name of a firm, organization, or person against whom the applicant complains.

Safeguards: Protection against unauthorized disclosure is afforded by limiting access to the office where the record is maintained.

Retention and disposal: The files are retained indefinitely.

System manager(s) and address: Director of Hearings and Appeals, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036.

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: Persons submitting an Application for Institution of a Proceeding.

CFTC-20

System name: Registration of Commodity Pool Operators—CFTC

System location: The primary files are maintained in the New York office. All CFTC offices have summary information in computer printout form. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: Partners, sole proprietors, officers, directors and persons performing similar functions for a commodity pool operator.

Categories of records in the system: Contains various information pertaining to registration as a commodity pool operator. The New York office maintains the application for registration (Form 6-R) and supplements, as well as all correspondence between the individual and the agency relating to registration. A computer system is maintained by the Chicago office. The computer memory consists of name, firm affiliations, title, date of birth, place of birth, social security number, fitness and address of each individual engaged as partner, sole proprietor, officer, and director and persons performing similar functions. Computer printouts prepared quar-

terly list all individuals so engaged. This printout, as well as non-confidential portions of the application for registration, are considered public records and available to any person for inspection and copying.

Authority for maintenance of the system: Section 4n(1) of the Commodity Exchange Act, 7 U.S.C. 6n(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Records are maintained in manual form in file folders, in computer memory, and in computer printout form.

Retrievability: The application, correspondence and other primary records are filed by the name of the commodity pool operator. The computer records are maintained by the name of the individual officer, partner, proprietor, etc. The computer serves as a cross-index by the name of the individual to the relevant commodity trading advisor file.

Safeguards: Protection of non-public records is afforded by general office security measures. Records are located in secured rooms or on secured premises with access limited to those whose official duties require access. In appropriate cases the records are maintained in lockable file cabinets.

Retention and disposal: Applications and correspondence are maintained on the premises for 3 years from the end of calendar year, then held in Federal Records Center for 7 years before being destroyed. The computer memory is maintained permanently on the premises and updated periodically as long as the individual remains associated with a registered commodity pool operator. The printouts are maintained on the premises for six months and destroyed.

System manager(s) and address: The Regional Administrator of the Region where the records are located. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The application is submitted by the commodity pool operator. Correspondence is generally prepared either by the Commission or its staff or by the commodity pool operator or its representative. The computer record is prepared from the application, and from the biographical information questionnaire (Form 94), and other information in the fitness files (see "Fitness Files" system of records).

CFTC-21

System name: Registration of Commodity Trading Advisors—CFTC

System location: Primary files are maintained in the New York office. All CFTC offices have summary information on computer printouts. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the

Categories of individuals covered by the system: Partners, sole proprietors, officers, directors of and persons performing similar functions for a commodity trading advisor.

Categories of records in the system: Contains various information pertaining to registration as a commodity trading advisor. The New York office maintains the application for registration (Form 5-R) and supplements, as well as all correspondence between the commodity trading advisor and the Commission relating to registration. A computer system is maintained by the Chicago office. The computer memory consists of name, firm affiliations, title, date of birth, place of birth, social security number, fitness, and address of each individual engaged as partner, sole proprietor, officer, and

director and persons performing similar functions. Computer printouts prepared quarterly list all such individuals so engaged. This printout, as well as non-confidential portions of the application for registration, are considered public records and are available to any person for inspection and copying.

Authority for maintenance of the system: Section 4n(1) of the Commodity Exchange Act, 7 U.S.C. 6n(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Records are maintained in manual form in file folders, in computer memory, and in computer printout form.

Retrievability: The applications, correspondence and other related matters are filed under the name of the commodity trading advisor. The computer records are maintained in the name of the individual partner, officer, director, etc. The computer serves as a cross-index by the name of the individual to the relevant commodity trading advisor file.

Safeguards: Protection of non-public records is afforded by general office security measures. Records are located in secured rooms or on secured premises with access limited to those whose official duties require access. In appropriate cases the records are maintained in lockable file cabinets.

Retention and disposal: Applications and correspondence are maintained on the premises for 3 years from end of calendar year, then held in Federal Records Center for 7 years before being destroyed. The computer memory is maintained permanently on the premises and updated periodically as long as the individual remains associated with a registered commodity trading advisor. Computer printouts are maintained on the premises for six months and destroyed.

System manager(s) and address: The Regional Administrator of the Region where the primary records and the computer are located. Addresses and telephone numbers of CFTC offices are set forth in these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The application is submitted by the commodity trading advisor. The computerized record is prepared from the application, including supplements, and from information contained in other systems of records, including the fitness files (see "Fitness Files" system of records). Correspondence is generally prepared by the Commission or by the commodity trading advisor or its representative.

CFTC-22

System name: Registration of Floor Brokers—CFTC

System location: The primary records are maintained by that regional office which has territorial jurisdiction over the floor broker's place of business. All CFTC offices have summary information in computer printout form. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: Persons who have applied to the Commission for registration as floor brokers.

Categories of records in the system: Contains various information pertaining to registration as a floor broker. The system includes the application for registration (Form 2-R), plus supplements and all correspondence between the floor broker and the Commission relating to registration. A computerized system, consisting primarily

of information taken from the application is maintained by the Chicago office. The computer memory includes the name, date of birth, place of birth, social security number, fitness, membership affiliations, business address, and residence address of each registered floor broker. Computer printouts, prepared monthly, list the names, business addresses, and membership affiliations of all registered floor brokers. This printout, as well as non-confidential portions of the application for registration are considered public records and available to any person for inspection and copying. In addition certain ancillary records, such as card indexes, are maintained, summarizing information contained in the system regarding each floor broker.

Authority for maintenance of the system: Section 4f(1) of the Commodity Exchange Act, 7 U.S.C. 6f(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Records are maintained in manual form in file folders and on index cards, in computer memory, and in computer printout form.

Retrievability: By the name of the floor broker.

Safeguards: Protection of non-public records is afforded by general office security measures. Records are located in secured rooms or on secured premises with access limited to those whose official duties require access. In appropriate cases the records are maintained in lockable file cabinets.

Retention and disposal: Applications for registration and related correspondence are maintained on the premises for 3 years. They are then held in the Federal Records Center for 7 years and destroyed. The computer memory is maintained permanently on the premises and updated periodically as long as the individual is registered. Printouts and indices are maintained on the premises for 5 years and then in the Federal Records Center for 5 years before being destroyed.

System manager(s) and address: The Regional Administrator of the Region where the records are located. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The application is submitted by the floor broker on whom the record is maintained. The computerized record is prepared from the application, including supplements, and from information contained in other systems of records, including the fitness files (see "Fitness Files" system of records). Correspondence is generally prepared either by the Commission or by the floor broker or his representative.

CFTC-23

System name: Registration of Futures Commission Merchants—CFTC

System location: The primary records are maintained by that regional office which has territorial jurisdiction over the state where the firm's principal office is located, or where the audit is performed. All CFTC offices have summary information in computer printout form. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: Officers, partners, sole proprietors, branch office managers, agents, or 10 stockholders of a futures commission merchant.

Categories of records in the system: Contains various information pertaining to registration as a futures commission merchant. The system includes the application for registration (Form 1-R), plus supplements, and all correspondence between the futures commission merchant and the Commission relating to registration. A computerized record is maintained for each individual engaged as an officer, partner, sole proprietor, branch office manager, agent or 10

stockholder of a futures commission merchant, as listed in the application. The computer memory consists of the name, firm affiliation, title, date and place of birth, social security number, fitness, and business address of each individual. Quarterly printouts are prepared listing all individuals currently engaged in the capacities indicated above. This printout, as well as non-confidential portions of the application for registration, are considered public records, and are available to any person for inspection and copying.

Authority for maintenance of the system: Section 4f(1) of the Commodity Exchange Act, 7 U.S.C. 6f(1).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Records are maintained in manual form in file folders, in computer memory, and in computer printout form.

Retrievability: Applications, correspondence, and other related matters are filed under the name of the registrant futures commission merchant. Computer records are maintained by the name of the individual officer, partner, shareholder, etc., and serve as a cross-index to the primary registration file.

Safeguards: Protection of non-public records is afforded by general office security measures. Records are located in secured rooms or on secured premises with access limited to those whose official duties require access. In appropriate cases the records are maintained in lockable file cabinets.

Retention and disposal: Applications for registration and related correspondence are maintained on the premises for three years. Records are then held in Federal Records Center for seven years and destroyed. The computer memory is maintained permanently on the premises and updated periodically as long as the individual remains associated as a principal with a registered futures commission merchant. Printouts are maintained on the premises for six months and destroyed.

System manager(s) and address: The Regional Administrator of the Region where the records are located. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The application is submitted by the futures commission merchant. The computerized record is prepared from the application, including supplements, and from information contained in other systems of records, including the fitness files (see "Fitness Files" system of records). Correspondence is generally prepared by the Commission or by the futures commission merchant or its representatives.

CFTC-24

System name: Registration and Fitness of Associated Persons—CFTC

System location: The primary files are maintained in the Chicago office. All CFTC offices have summary information in computer printout form. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: Persons who have applied to the Commission for registration as a person associated with a futures commission merchant or with any agent of a futures commission merchant. This includes partners, officers, or employees acting in any capacity which involves the solicitation or acceptance of customers' orders for futures contracts or supervision of individuals so engaged. It also includes anyone occupying a similar status or performing similar functions.

Categories of records in the system: Contains various information pertaining to the applicant's registration as an associated person. The system includes the application for registration (Form 4-R) and supplements, as well as correspondence between the associated person and the Commission. It also includes correspondence relating to the fitness of the individual to be engaged in the business. A computerized record is kept of information concerning each registrant. This includes his name, firm affiliation, date of birth, place of birth, social security number, education, fitness, experience, and home address. Regular computer printouts show the name and firm affiliation of all individuals engaged as associated persons. This printout, as well as non-confidential portions of the application for registration, are considered public records and are available to any person for inspection and copying.

Authority for maintenance of the system: Section 4k(2) of the Commodity Exchange Act, 7 U.S.C. 6k(2).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Records are maintained in manual form in file folders, in computer memory, and in computer printout form.

Retrievability: By the name of the associated person. The computer cross-indexes the record to the name of the futures commission merchant with whom the individual is associated.

Safeguards: Protection of non-public records is afforded by general office security measures. Records are located in secured rooms or on secured premises with access limited to those whose official duties require access. In appropriate cases the records are maintained in lockable file cabinets.

Retention and disposal: Applications and correspondence are maintained on the premises for three years. They are then held in Federal Records Center for seven years and destroyed. The computer memory is maintained permanently on the premises and updated periodically as long as the individual is registered. Computer printouts are maintained on the premises for five years, then held in the Federal Records Center for five years, and then destroyed.

System manager(s) and address: Regional Administrator, Commodity Futures Trading Commission, 141 West Jackson Blvd., Room A-1, Chicago, Illinois 60604, Telephone: (312) 353-5990.

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The application is submitted by the associated person. Correspondence may be prepared by the Commission, the associated person, the commodity exchanges, other government agencies, and other persons having knowledge about the individual. The computer record is prepared from the application and supplements, and from information developed during the fitness inquiry.

CFTC-25

System name: Stipulation of Compliance File—CFTC

System location: Records in this system are maintained by the Compliance Bureau in the Commission's principal office and by regional offices. Addresses and telephone numbers of CFTC offices

are set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: Any person or firm who has signed a stipulation of compliance with the Commission.

Categories of records in the system: This system consists of stipulations of compliance and related indices.

Authority for maintenance of the system: The obtaining of stipulations of compliance is ancillary to the duties and responsibilities of the Commission to enforce the provisions of the Commodity Exchange Act and the rules and regulations adopted thereunder. See also 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: None. The stipulations of compliance are a matter of public record.

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

Storage: Paper records in file folders or three-ring binders.

Retrievability: The records are filed according to a stipulation of compliance number. They are cross-indexed to the name of the person signing the stipulation or on whose behalf the stipulation is signed.

Safeguards: Protection is afforded by general office security measures. Records are located in secured rooms or on secured premises with access limited to those whose official duties require access.

Retention and disposal: The records are maintained indefinitely on the premises, unless otherwise ordered by the System Manager.

System manager(s) and address: The Director of the Compliance Bureau in the Commission's principal office, and the Regional Administrator of each of the regional offices. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The individual signing the stipulation of compliance.

CFTC-26

System name: Subpoena File—CFTC

System location: Records in this system are maintained in the Commission's New York regional office at 61 Broadway, Room 2101, New York, New York 10006, and in the Chicago regional office at 141 West Jackson Blvd., Room A-1, Chicago, Illinois 60604.

Categories of individuals covered by the system: Individuals who have been subpoenaed by the Commission.

Categories of records in the system: This file contains copies of subpoenas issued to individuals and a covering memorandum explaining the purpose of subpoena. It also contains other memoranda, correspondence, and miscellaneous materials relating to the subpoena.

Authority for maintenance of the system: Section 6(b) of the Commodity Exchange Act, 7 U.S.C. 15.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders.

Retrievability: By the name of the person to whom the subpoena was issued.

Safeguards: Protection is afforded by general office security measures. Records are located in secured rooms or in secured premises with access limited to those whose official duties require access.

Retention and disposal: The records are retained for 5 years, and then destroyed.

System manager(s) and address: Regional Administrator, Commodity Futures Trading Commission, 141 West Jackson Blvd., Room A-1, Chicago, Illinois 60604. Regional Administrator, Commodity Futures Trading Commission, 61 Broadway, Room 2101, New York, New York 10006.

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W., Washington, D.C. 20036, Telephone: (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: Subpoenas and related memoranda prepared by the Commission staff. Correspondence between the Commission and the person to whom the subpoena was issued or his attorney or other representative.

CFTC-27

System name: Violation Follow-up Files—CFTC

System location: Records in this system are maintained by the Compliance Bureau in the Commission's principal office and by the regional offices. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Categories of individuals covered by the system: Persons who have had criminal, civil or administrative action taken against them, or who have been sent compliance or warning letters regarding violations of the Commodity Exchange Act or the rules and regulations thereunder.

Categories of records in the system: This system of records contains various documentation relating to official actions taken against individuals based on violations of the Commodity Exchange Act and the rules and regulations adopted thereunder. These include:

1. Copies of indictments and records of conviction or other disposition in criminal actions.
2. Decisions and orders in administrative proceedings before the Commission.
3. Warning letters, compliance letters, and stipulations of compliance.
4. Permanent and preliminary injunctions and temporary restraining orders based on complaints filed by the Commission.
5. Exchange findings of violations of exchange rules where the acts also constitute violations of the Commodity Exchange Act and rules and regulations adopted thereunder.

As part of the system a cross-index of violations is also maintained, listing all administrative and criminal actions instituted against the individual.

Authority for maintenance of the system: The maintenance of these records is ancillary to the Commission's responsibility to enforce the provisions of the Commodity Exchange Act. See also 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The routine uses applicable to this system of records are set forth in the introduction to these system notices under the caption "general statement of routine uses."

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

Storage: Paper records in file folders and in looseleaf binders.

Retrievability: By the name of the individual violator.

Safeguards: Protection against unauthorized disclosure is afforded by limiting access to the office maintaining the record, to those whose official duties require access.

Retention and disposal: The records are retained on the premises for 10 years and then destroyed unless otherwise ordered by the System Manager. The index is maintained indefinitely.

System manager(s) and address: The Director of the Compliance Bureau in the Commission's principal office, and the Regional Administrator of each of the regional offices. Addresses and telephone numbers of CFTC offices are set forth in the introduction to these system notices under the caption "location of systems of records."

Notification procedure: Individuals seeking to determine whether this system of records contains information about them should address their inquiries to the Privacy Unit, Commodity Futures Trading Commission, 1120 Connecticut Avenue, N.W.; Washington, D.C. 20036, Telephone (202) 254-8630.

Record access procedures: Individuals seeking access to records about themselves in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Contesting record procedures: Individuals contesting the content of records about themselves contained in this system of records should address their inquiries to the Privacy Unit at the address listed in the notification section above.

Record source categories: The issuing courts; the parties to the action or their attorneys or their representatives; the exchanges; the official files of the Commission's Office of Hearings and Appeals; the Commission staff, based on results of investigations, audits and any other pertinent action taken.

[FR Doc.75-22742 Filed 8-27-75;8:45 am]

Title 24—Housing and Urban Development
SUBTITLE A—OFFICE OF THE SECRETARY, DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. R-75-350]

PART 16—IMPLEMENTATION OF THE PRIVACY ACT OF 1974

Interim Rule

Notice is hereby given that the Department of Housing and Urban Development (hereinafter referred to as the "Department") is adopting an interim rule amending Subtitle A of Title 24 of the Code of Federal Regulations by adding a new Part 16. The Part implements the provisions of sections 2 and 3 of the Privacy Act of 1974, Pub. L. 93-579 (hereinafter referred to as the "Privacy Act").

The rule establishes policies and procedures to assure the protection of individual privacy and the accuracy of records in accordance with the requirements of the Act, including provisions regarding an individual's access to and right to seek correction or amendment of such records and the disclosure of information from such records. Provisions are made for administrative review of certain decisions to deny access to records and decisions to deny correction or amendment thereof. Fees are established for the reproduction of records where applicable.

Principal provisions of the new Part 16 are summarized below:

Section 16.3 sets forth procedures for inquiry by an individual as to whether the Department maintains records, pertaining to that individual, in its records systems.

Section 16.4 provides procedures whereby an individual may request access to records pertaining to him or her.

Section 16.5 provides procedures, when a request for access is granted, for the individual to inspect and/or copy such records.

Section 16.6 specifies the basis upon which a request for access by an individual may be denied and the form of notice to an individual whose request has been denied, including rights to administrative review, where applicable, and judicial review.

Section 16.7 provides procedures for administrative review of initial denials of access limited to circumstances where the record is denied on the basis of an anticipated civil action or proceeding, or an allegedly unreasonable failure to follow procedural requirements.

Section 16.8 provides procedures for an individual to request correction or amendment of a record pertaining to that individual.

Section 16.9 provides criteria for the agency to consider a request for amendment or correction, and in the event the request is granted mandates correction of the record, notice to the individual of the correction and notice to other agencies or persons who had the record prior to correction or amendment of such correction. In the event the request is denied the Department is required to notify the individual of the reasons therefor and of appellate rights within the Department.

Section 16.10 provides procedures for appeal of a refusal to correct or amend.

Section 16.11 sets forth requirements for disclosure of personal information by the Department to persons other than the individual to whom it pertains and requires accounting of certain disclosures.

Section 16.12 sets forth fee schedules for duplication of documents and special services.

Section 16.13 sets forth penalties as provided in the "Act".

Sections 16.14 and 16.15 set forth the exemptions allowed by the "Act" and exercised by the Department.

Publication of Part 16 as a notice of proposed rule making would result in a delay in assuring individuals the protections afforded by the Act which would be inconsistent with the Congressional Policy embodied in the Act. Therefore, The Secretary has determined that comment and public procedure prior to adoption of this rule is unnecessary, and good cause exists for making the part effective on publication. However, interested persons are encouraged to submit written comments, views or data regarding this interim regulation promulgated hereby to the Rules Docket Clerk, Office of the General Counsel, Room 10245, Department of Housing and Urban Development, 451 7th Street, SW., Washington, D.C. 20410. Communications should be identified by the above docket number and title. All such submissions received on or before October 27, 1975, will be considered before adoption of a final rule. A copy of each communication will be available for public inspection during regular business hours at the above address.

A Finding of Inapplicability respecting the National Environmental Policy Act of 1969 has been made in accordance with HUD Handbook 1390.1. A copy of this Finding of Inapplicability will be available for public inspection during regular business hours at the address set forth in the preceding paragraph.

Therefore, Subtitle A of Title 24 of the Code of Federal Regulations is amended by adding a new Part 16, Implementation of the Privacy Act of 1974, to read as follows:

Sec.

- 16.1 Purpose and statement of policy.
- 16.2 Definitions.
- 16.3 Procedures for inquiries.
- 16.4 Requests for access; requirements.
- 16.5 Disclosure of requested information to individuals.
- 16.6 Initial denial of access.
- 16.7 Administrative review of initial denial of access.
- 16.8 Request for correction or amendment to record.
- 16.9 Agency procedures upon request for correction or amendment of record.
- 16.10 Appeal of initial adverse agency determination on correction of amendment.
- 16.11 Disclosure of record to person other than the individual to whom it pertains.
- 16.12 Fees.
- 16.13 Penalties.

Sec.

- 16.14 General exemptions.
- 16.15 Specific exemptions.

Appendix A—Officials to receive inquiries, requests for access and requests for correction or amendment.

AUTHORITY: Department of Housing and Urban Development Act, Pub. L. 89-174 Sec. 7(d), 42 U.S.C. 3535(d), Privacy Act of 1974, Pub. L. 93-579, 5 U.S.C. 552(a)

§ 16.1 Purpose and statement of policy.

(a) The purpose of this part is to establish policies and procedures for implementing the Privacy Act of 1974 (Pub. L. 93-579), 5 U.S.C. 552(a). The main objectives are to facilitate full exercise of rights conferred on individuals under the Act and to insure the protection of privacy as to individuals about whom the Department maintains records in systems of records under the Act. The Department accepts the responsibility to act promptly and in accordance with the Act upon receipt of any inquiry, request or appeal from a citizen of the United States or an alien lawfully admitted for permanent residence into the United States, regardless of the age of the individual.

(b) Further, the Department accepts the obligations to maintain only such information on individuals as is relevant and necessary to the performance of its lawful functions, to maintain that information with such accuracy, relevancy, timeliness and completeness as is reasonably necessary to assure fairness in determinations made by the Department about the individual, to obtain information from the individual to the extent practicable, and to take every reasonable step to protect that information from unwarranted disclosure. The Department will maintain no record describing how an individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent to and within the scope of an authorized law enforcement activity.

(c) This part applies to all organizational components in the Department in order to assure the maximum amount of uniformity and consistency within the Department in its implementation of the Act.

(d) The Assistant Secretary for Administration shall be responsible for carrying out the requirements of this part, for issuing such orders and directives internal to the Department as are necessary for full compliance with the Act, and for effecting publication of all required notices concerning systems of records.

(e) Requests involving information pertaining to an individual which is in

a record or file but not within the scope of a system of records notice published in the FEDERAL REGISTER are outside the scope of this part.

§ 16.2 Definitions.

(a) The definitions of 5 U.S.C. 552a apply in this part.

(b) As used in this part:

(1) "Act" means the "Privacy Act of 1974," Pub. L. 93-579.

(2) "Privacy Officer" means those officials, identified in Appendix A to this part, who are authorized to receive and act upon inquiries, requests for access, and requests for correction or amendment.

(3) "Privacy Appeals Officer" means the Assistant Secretary for Administration, who shall act with the concurrence of the General Counsel.

(4) "Department" means the Department of Housing and Urban Development.

(5) "Inquiry" means a request by an individual that the Department determine whether it has any record in a system of records which pertains to that individual.

(6) "Request for access" means a request by an individual or guardian to inspect and/or copy and/or obtain a copy of a record which is in a particular system of records and which pertains to that individual.

(7) "Request for correction or amendment" means the request by an individual or guardian that the Department change (either by correction, addition or deletion) a particular record in a system of records which pertains to that individual.

(8) "Appeal" means the request by an individual that an initial denial of a request for access or correction or amendment by that individual be reviewed and reversed.

§ 16.3 Procedures for inquiries.

(a) Any individual, regardless of age, may submit an inquiry to the Department. The inquiry should be made either in person at the office of, or by mail addressed to, the appropriate Privacy Officer. Although oral requests may be honored, a requester may be asked to submit his request in writing. The envelope containing the request and the letter itself should both clearly indicate

that the subject is a "PRIVACY ACT INQUIRY". If an individual believes the Department maintains a record pertaining to that individual but does not know which system of records might contain such a record and/or which organizational component of the Department maintains the system of records, assistance in person or by mail will be provided at the first address listed in Appendix A to this part.

(b) (1) An inquiry should contain the following information:

(i) Name, address and telephone number of the individual making the request;

(ii) Name, address and telephone number of the individual to whom the record pertains, if the requesting individual is either the parent of a minor or the legal guardian of the individual to whom the record pertains;

(iii) A certified or authenticated copy of documents establishing parentage or guardianship;

(iv) Whether the individual to whom the record pertains is a citizen of the United States or an alien lawfully admitted for permanent residence into the United States;

(v) Name of the system of records, as published in the FEDERAL REGISTER;

(vi) Location of the system of records, as published in the FEDERAL REGISTER;

(vii) Such additional information as the individual knows will or believes might assist the Department in responding to the inquiry (for example, the individual's past or present relationship with the Department, e.g. mortgagor, contractor, employee, including relevant dates) and in verifying the individual's identity (for example, date of birth, place of birth, names of parents, place of work, dates of employment, position title, etc.);

(viii) Date of inquiry; and,

(ix) Individual's signature.

The Department reserves the right to require compliance with the identification procedures appearing at § 16.4(d) where circumstances warrant.

(2) In compliance with 5 U.S.C. 552a

(e) (3) each individual supplying the information in accordance with paragraph (b) (1) of this section hereby is informed that:

(i) The authority authorizing solicitation of the information is 5 U.S.C. 552a,

disclosure is voluntary, and no penalty is attached for failure to respond;

(ii) The principal purpose for which the information is intended to be used is processing the inquiry under the Act;

(iii) The routine uses which may be made of the information are the routine uses appearing as a prefatory statement to the Department's notice of systems of records published in the *FEDERAL REGISTER*; and,

(iv) The effects of not providing all or any part of the information may delay, or in some cases make impossible, the Department's processing of the action on the request under the Act.

(3) If, having been made aware of the contents of paragraph (b) (2) of this section, an individual submits the information listed in paragraph (b) (1) of this section, he or she will be deemed to have made the submission on a purely voluntary and consensual basis.

(c) When an inquiry is misdirected by the requester, or not addressed as specified in paragraph (a) of this section, the Department official receiving same shall make reasonable effort to identify, and promptly refer it to, the appropriate Privacy Officer and the time of receipt for processing purposes will be the time when it is received by the Privacy Officer.

(d) When an inquiry fails to provide necessary information as set forth in paragraph (b) of this section, the requester shall be advised that the time of receipt for processing purposes will be the time when the additional necessary information is received by the Privacy Officer.

(e) Each inquiry received shall be acted upon promptly by the responsible Privacy Officer. Every effort will be made to respond within ten days (excluding Saturdays, Sundays and holidays) of the date of receipt. If a response cannot be made within ten days, the Privacy Officer shall send an acknowledgement during that period providing information on the status of the inquiry. The Privacy Officer may indicate that additional information would facilitate processing or that further information is necessary to process the inquiry.

§ 16.4 Requests for access; requirements.

(a) Any individual, regardless of age, may submit to the Department a re-

quest for access to records of the Department. The request should be made either in person at the Office of, or by mail addressed to, the responsible Privacy Officer identified in Appendix A to this part. Although oral requests may be honored, a requester may be asked to submit his request in writing. The envelope containing the request and the letter itself should both clearly indicate that the subject is a **PRIVACY ACT REQUEST FOR ACCESS TO RECORDS**.

(b) When a request for access to records is misdirected by the requester, or not addressed as specified in paragraph (a) of this section, the Department official receiving same shall promptly refer it to the appropriate Privacy Officer and the time of receipt for processing purposes will be the time when it is received by that official.

(c) When a request for access to records fails to provide necessary information as set forth in paragraph (b) of this section the requester shall be advised that the time of receipt for processing purposes will be the time when the additional necessary information is received by the appropriate official.

(d) The requirements for identification of individuals seeking access to records are as follows:

(i) *In person.* Each individual making a request in person shall be required to present satisfactory proof of identity. The means of proof, in the order of preference and priority, are:

(1) A document bearing the individual's photograph (for example, passport or military or civilian identification card);

(ii) A document bearing the individual's signature (for example, driver's license, social security card, unemployment insurance book, employer's identification card, national credit card and professional, craft or union membership card); and

(iii) A document bearing neither the photograph nor the signature of the individual (for example, a Medicaid card). In the event the individual can provide no suitable documentation of identity, the Department will require a signed statement asserting the individual's identity and stipulating that the individual understands the penalty provision of 5 U.S.C. 552a(i) (3). That penalty provision also appears at § 16.13(a). In order

to avoid any unwarranted disclosure of an individual's records, the Department reserves the right to determine to its satisfaction whether proof of identity offered by any individual is adequate.

(2) *Not in person.* If the individual making a request does not appear in person before a Privacy Officer, the information set forth in § 16.3(b) (1) and a certificate of a notary public or equivalent officer empowered to administer oaths must accompany the request. The certificate within or attached to the letter must be substantially in accord with the following text:

City of _____
County of _____
ss _____, who
(name of individual)
affixed (his) (her) signature below in my presence, came before me, a _____ (title)
in and for the aforesaid County and State, this _____ day of _____, 19____, and established (his) (her) identity to my satisfaction. My commission expires _____
(signature)

If the request follows inquiry under § 16.3, this should be indicated in the request for access in order to facilitate processing.

(3) *Parents of minors and legal guardians.* An individual acting as the parent of a minor or the legal guardian of the individual to whom a record pertains shall establish his or her personal identity in the same manner prescribed in either paragraph (d) (1) or (2) of this section. In addition, such other individual shall establish his or her representative capacity of parent or legal guardian. In the case of the parent of a minor, the proof of identity shall be a certified or authenticated copy of the minor's birth certificate. In the case of a legal guardian of an individual who has been declared incompetent due to physical or mental incapacity or age by a court of competent jurisdiction, the proof of identity shall be a certified or authenticated copy of the court's order. A parent or legal guardian may act only for a living individual, not for a decedent. A parent or legal guardian may be accompanied during personal access to a record by another individual, provided the provisions of § 16.5(e) are satisfied.

(e) When the provisions of this part are alleged to have the effect of impeding an individual in exercising his or her right to access, the Department will consider alternative suggestions from an individual making a request, regarding proof of identity and access to records.

(f) An individual shall not be required to state a reason or otherwise justify his or her request for access to a record.

§ 16.5 Disclosure of requested information to individuals.

(a) Each request received shall be acted upon promptly by the responsible Privacy Officer. Every effort will be made to respond within ten days (excluding Saturdays, Sundays and holidays) of the date of receipt. If a response cannot be made within ten days due to unusual circumstances, the Privacy Officer shall send an acknowledgement during that period providing information on the status of the request and asking for such further information as may be necessary to process the request. "Unusual circumstances" shall include circumstances where a search for and collection of requested records from inactive storage, field facilities or other establishments are required, cases where a voluminous amount of data is involved, instances where information on other individuals must be separated or expunged from the particular record, and cases where consultations with other agencies having a substantial interest in the determination of the request are necessary.

(b) Grant of access—(1) *Notification.* An individual shall be granted access to a record pertaining to him or her, except where the provisions of § 16.6 apply. The Privacy Officer shall notify the individual of such determination and provide the following information:

(i) The methods of access, as set forth in paragraph (b) (2) of this section;

(ii) The place at which the record may be inspected;

(iii) The earliest date on which the record may be inspected and the period of time that the records will remain available for inspection and/or the estimated date by which a copy of the record could be mailed and the estimate of fees pursuant to § 16.12;

(iv) The fact that the individual, if he or she wishes, may be accompanied by another individual during personal ac-

cess, subject to procedures set forth in paragraph (e) of this section; and

(v) Any additional requirements needed to grant access to a specific record.

(2) *Methods of access.* The following methods of access to records by an individual may be available depending on the circumstances of a given situation:

(i) Inspection in person may be had in the office specified by the Privacy Officer granting access during hours indicated by the Privacy Officer;

(ii) Transfer of records to a Federal facility more convenient to the individual may be arranged, but only if the Privacy Officer determines that a suitable facility is available, that the individual's access can be properly supervised at the facility, and that transmittal of the records to that facility will not unduly interfere with operations of the Department or involve unreasonable costs, in terms of both money and manpower; and

(iii) Copies may be mailed at the request of the individual, subject to payment of the fees prescribed in § 16.12. The Department, at its own initiative, may elect to provide a copy by mail, in which case no fee will be charged the individual.

(c) The Department shall supply such other information and assistance at the time of access as to make the record intelligible to the individual.

(d) The Department reserves the right to limit access to copies and abstracts of original records, rather than the original records. This election would be appropriate, for example, when the record is in an automated data media such as tape or disc, when the record contains information on other individuals, and when deletion of information is permissible under exemptions (for example, 5 U.S.C. 552a(k)(2)). In no event shall original records of the Department be made available to the individual except under the immediate supervision of the Privacy Officer or his designee. It is a crime to conceal, mutilate, obliterate, or destroy any record filed in a public office, or to attempt to do any of the foregoing, Title 18, United States Code, 2701(a).

(e) Any individual who requests access to a record pertaining to that individual may be accompanied by another individual of his or her choice. "Accompanied" includes discussion of the record

in the presence of the other individual. The individual to whom the record pertains shall authorize the presence of the other individual by a signed and dated document which includes the name of the other individual and specifically describes the record to which access is sought. The other individual shall sign the authorization in the presence of the Privacy Officer. An individual shall not be required to state a reason or otherwise justify his or her decision to be accompanied by another individual during personal access to a record.

§ 16.6 Initial denial of access.

(a) *Grounds.* Access by an individual to a record which pertains to that individual will be denied only upon a determination by the Privacy Officer that:

(1) The record is subject to an exemption under § 16.14 or to an exemption determined by another agency noticing the system of records;

(2) The record is information compiled in reasonable anticipation of a civil action or proceeding; or

(3) The individual unreasonably has failed to comply with the procedural requirements of this part.

(b) *Notification.* The Privacy Officer shall give notice of denial of access to records to the individual in writing and shall include the following information:

(1) The Privacy Officer's name and title or position;

(2) The date of the denial;

(3) The reasons for the denial, including citation to the appropriate section of the Act and/or this part;

(4) The individual's opportunities, if any, for further administrative consideration, including the identity and address of the appropriate Privacy Appeals Officer. If no further administrative consideration within the Department is available, the notice shall state that the denial is administratively final; and,

(5) If stated to be administratively final; and, within the Department, the individual's right to judicial review under 5 U.S.C. 552a(g)(1), as amended by 5 U.S.C. 552a(g)(5).

§ 16.7 Administrative review of initial denial of access.

(a) Review shall be available only from a written denial of a request for access issued under § 16.6(a) (2) or (3) and

only if a written request for review is filed within thirty calendar days after the issuance of the written denial.

(b) A request for review shall be addressed to the Privacy Appeals Officer identified in the initial denial, which official is authorized to make final determinations. The envelope containing the request for review and the letter itself should both clearly indicate that the subject is a **PRIVACY ACT REQUEST FOR REVIEW**.

(c) When a request for review is misdirected by the requester, or not addressed as specified in paragraph (b) of this section, the Department official receiving same shall promptly refer it to the Privacy Appeals Officer and the time of receipt for processing purposes will be the time when it is received by the appropriate official.

(d) When a request for review fails to provide necessary information as set forth in paragraph (e) of this section, the requester shall be given reasonable opportunity to amend the request and shall be advised that the time of receipt for processing purposes will be the time when the additional necessary information is received by the appropriate official.

(e) The filing of a request for review may be accomplished by mailing to the Privacy Appeals Officer a copy of the request for access, if in writing; a copy of the written denial issued under § 16.6; and a statement of the reasons why the initial denial is believed to be in error. The appeal shall be signed by the individual.

(f) No hearing will be allowed in connection with administrative review of an initial denial of access.

(g) The Privacy Appeals Officer shall act upon the appeal and issue a final determination in writing not later than thirty days (excluding Saturdays, Sundays and holidays) from the date on which the appeal is received; provided, that the Privacy Appeals officer may extend the thirty days upon deciding that a fair and equitable review cannot be made within that period, but only if the individual is advised in writing of the reason for the extension and the estimated date by which a final determination will issue, which estimated date should not be later than the sixtieth day (exclud-

ing Saturdays, Sundays and holidays) after receipt of the appeal unless there exist unusual circumstances, as described in § 16.5(a).

(h) The decision after review will be in writing, will constitute final action of the Department on a request for access, and, if the denial of the request is in whole or part upheld, the Department shall notify the person making the request of his right to judicial review under 5 U.S.C. 552a(g)(1), as amended by 5 U.S.C. 552a(g)(5).

§ 16.8 Request for correction or amendment to record.

(a) Any individual, regardless of age, may submit to the Department a request for correction or amendment of a record pertaining to that individual. The request should be made either in person at the office of, or by mail addressed to, the Privacy Officer who processed the individual's request for access to the record. Although an oral request may be honored, a requester may be asked to submit his or her request in writing. The envelope containing the request and the letter itself should both clearly indicate that the subject is a **PRIVACY ACT REQUEST FOR CORRECTION OR AMENDMENT**.

(b) When a request for correction or amendment is misdirected by the requester, or not addressed as specified in paragraph (a) of this section, the Department official receiving same shall make reasonable effort to identify, and promptly refer it to, the appropriate Privacy Officer and the time of receipt for processing purposes will be the time when it is received by the appropriate official.

(c) When a request for correction or amendment fails to provide necessary information as set forth in paragraph (e) of this section, the requester shall be given reasonable opportunity to answer the request and shall be advised that the time of receipt for processing purposes will be the time when the additional necessary information is received by the appropriate official.

(d) Since the request, in all cases, will follow a request for access under § 16.4, the individual's identity will be established by his or her signature on the request.

(e) A request for correction or amendment should include the following:

(1) A specific identification of the record sought to be corrected or amended (for example, description, title, date, paragraph, sentence, line and words);

(2) The specific wording to be deleted, if any;

(3) The specific wording to be inserted or added, if any, and the exact place at which it is to be inserted or added; and

(4) A statement of the basis for the requested correction or amendment, with all available supporting documents and materials which substantiate the statement.

(f) The provisions of § 16.3(b)(2) and (3) apply to the information obtained under paragraph (e) of this section.

§ 16.9 Agency procedures upon request for correction or amendment of record.

(a)(1) Not later than ten days (excluding Saturdays, Sundays and holidays) after receipt of a request to correct or amend a record, the Privacy Officer shall send an acknowledgment providing an estimate of time within which action will be taken on the request and asking for such further information as may be necessary to process the request. The estimate of time may take into account unusual circumstances as described in § 16.5(a). No acknowledgment will be sent if the request can be reviewed, processed, and the individual notified of the results of review (either compliance or denial) within the ten days. Requests filed in person will be acknowledged at the time submitted.

(2) Promptly after acknowledging receipt of a request, or after receiving such further information as might have been requested, or after arriving at a decision within the time prescribed in § 16.9(a)(1), the Privacy Officer shall either:

(i) Make the requested correction or amendment and advise the individual in writing of such action, providing either a copy of the corrected or amended record or a statement as to the means whereby the correction or amendment was effected in cases where a copy cannot be provided; or,

(ii) Inform the individual in writing that his or her request is denied and provide the following information:

(A) The Privacy Officer's name and title and position;

(B) The date of the denial;

(C) The reasons for the denial, including citation to the appropriate sections of the Act and this part; and,

(D) The procedures for appeal of the denial as set forth in § 16.10, including the name and address of the Privacy Appeals Officer. The term "promptly" in this § 16.9 means within thirty days (excluding Saturdays, Sundays and holidays). If the Privacy Officer cannot make the determination within thirty days, the individual will be advised in writing of the reason therefor and of the estimated date by which the determination will be made.

(b) Whenever an individual's record is corrected or amended pursuant to a request by that individual, the Privacy Officer shall see to the notification of all persons and agencies to which the corrected or amended portion of the record had been disclosed prior to its correction or amendment, if an accounting of such disclosure was made as required by the Act. The notification shall require a recipient agency maintaining the record to acknowledge receipt of the notification, to correct or amend the record and to appraise any agency or person to which it had disclosed the record of the substance of the correction or amendment.

(c) The following criteria will be considered by the Privacy Officer in reviewing a request for correction or amendment:

(1) The sufficiency of the evidence submitted by the individual;

(2) The factual accuracy of the information;

(3) The relevance and necessity of the information in terms of the purpose for which it was collected;

(4) The timeliness and currency of the information in terms of the purpose for which it was collected;

(5) The completeness of the information in terms of the purpose for which it was collected;

(6) The possibility that denial of the request could unfairly result in determinations adverse to the individual;

(7) The character of the record sought to be corrected or amended; and

(8) The propriety and feasibility of complying with the specific means of correction or amendment requested by the individual.

(d) The Department will not undertake to gather evidence for the individual, but does reserve the right to verify the evidence which the individual submits.

(e) Correction or amendment of a record requested by an individual will be denied only upon a determination by the Privacy Officer that:

(1) There has been a failure to establish, by the evidence presented, the propriety of the correction or amendment in light of the criteria set forth in paragraph (c) of this section;

(2) The record sought to be corrected or amended was compiled in a terminated judicial, quasi-judicial, legislative or quasi-legislative proceeding to which the individual was a party or participant;

(3) The information in the record sought to be corrected or amended, or the record sought to be corrected or amended, is the subject of a pending judicial, quasi-judicial or quasi-legislative proceeding to which the individual is a party or participant;

(4) The correction or amendment would violate a duly enacted statute or promulgated regulation; or,

(5) The individual unreasonably has failed to comply with the procedural requirements of this part.

(f) If a request is partially granted and partially denied, the Privacy Officer shall follow the appropriate procedures of this section as to the records within the grant and the records within the denial.

§ 16.10 Appeal of initial adverse agency determination on correction or amendment.

(a) Appeal shall be available only from a written denial of a request for correction or amendment of a record issued under § 16.9, and only if a written appeal is filed within thirty calendar days after the issuance of the written denial.

(b) Each appeal shall be addressed to the Privacy Appeals Officer identified in the written denial. The envelope containing the appeal and the letter itself should both clearly indicate that the subject is PRIVACY ACT APPEAL.

(c) When an appeal is misdirected by the requester, or not addressed as specified in paragraph (b) of this section, the Department official receiving same shall promptly refer it to the appropriate Privacy Appeals Officer and the time of

receipt for processing purposes will be the time when it is received by the appropriate official.

(d) When an appeal fails to provide the necessary information as set forth in paragraph (e) of this section, the requester shall be advised that the time for receipt for processing purposes will be the time when the additional necessary information is received by the appropriate official.

(e) The individual's appeal papers shall include the following: A copy of the original request for correction or amendment; a copy of the initial denial; and a statement of the reasons why the initial denial is believed to be in error. The appeal shall be signed by the individual. The record which the individual requests be corrected or amended will be supplied by the Privacy Officer who issued the initial denial. While the foregoing normally will comprise the entire record on appeal, the Privacy Appeals Officer may seek additional information necessary to assure that the final determination is fair and equitable and, in such instances, the additional information will be disclosed to the individual to the greatest extent possible and an opportunity provided for comment thereon.

(f) No hearing on appeal will be allowed.

(g) The Privacy Appeals Officer shall act upon the appeal and issue a final Department determination in writing not later than thirty days (excluding Saturdays, Sundays and holidays) from the date on which the appeal is received; provided, that the Privacy Appeals Officer may extend the thirty days upon deciding that a fair and equitable review cannot be made within that period, but only if the individual is advised in writing of the reason for the extension and the estimated date by which a final determination will issue (which estimated date should not be later than the sixtieth day (excluding Saturdays, Sundays and holidays) after receipt of the appeal unless unusual circumstances, as described in § 16.5(a), are met).

(h) If the appeal is determined in favor of the individual, the final determination shall include the specific corrections or amendments to be made and a copy thereof shall be transmitted promptly both to the individual and to the Privacy Officer who issued the initial

denial. Upon receipt of such final determination, the Privacy Officer promptly shall take the actions set forth in § 16.9 (a) (2) (i) and § 16.9(b).

(i) If the appeal is denied, the final determination shall be transmitted promptly to the individual and shall state the reasons for the denial. The notice of final determination also shall inform the individual of the following information:

(1) The right of the individual to file a concise statement of reasons for disagreeing with the final determination. The statement ordinarily should not exceed one page and the Department reserves the right to reject a statement of excessive length. Such a statement shall be filed with the Privacy Appeals Officer. It should identify the date of the final determination and be signed by the individual. The Privacy Appeals Officer shall acknowledge receipt of such statement and inform the individual of the date on which it was received;

(2) The fact that any such disagreement statement filed by the individual will be noted in the disputed record and that a copy of the statement will be provided to persons and agencies to which the record is disclosed subsequent to the date of receipt of such statement;

(3) The fact that prior recipients of the disputed record will be provided a copy of any statement of the dispute to the extent that an accounting of disclosures, as required by the Act, was made;

(4) The fact that the Department will append to any such disagreement statement filed by the individual, a copy of the final determination or summary thereof which also will be provided to persons and agencies to which the disagreement statement is disclosed; and,

(5) The right of the individual to judicial review of the final determination under 5 U.S.C. 552a(g) (1) (A), as limited by 5 U.S.C. 552a (g) (5).

(j) In making the final determination, the Privacy Appeals Officer shall employ the criteria set forth in paragraph 16.9(c) and shall deny an appeal only on the grounds set forth in § 16.9(e).

(k) If an appeal is partially granted and partially denied, the Privacy Appeals Officer shall follow the appropriate procedures of this section as to the records within the grant and the records within the denial.

(l) Although a copy of the final determination or a summary thereof will be

treated as part of the individual's record for purposes of disclosure in instances where the individual has filed a disagreement statement, it will not be subject to correction or amendment by the individual.

(m) The provisions of § 16.3(b) (2) and (3) apply to the information obtained under paragraphs (e) and (i) (1) of this section.

§ 16.11 Disclosure of record to person other than the individual to whom it pertains.

(a) The Department may disclose a record pertaining to an individual to a person other than the individual only in the following instances:

(1) Upon written request by the individual, including authorization under § 16.5(e);

(2) With the prior written consent of the individual;

(3) To a parent or legal guardian under 5 U.S.C. 552a(h); and,

(4) When required by the Act and not covered explicitly by the provisions of 5 U.S.C. 552a(b); and,

(5) When permitted under 5 U.S.C. 552a(b) (1) through (11), which read as follows:

(1) To those officers and employees of the agency which maintains the record who have a need for the record in the performance of their duties;

(2) Required under section 552 of this title;

(3) For a routine use as defined in subsection (a) (7) of this section and described under subsection (e) (4) (D) of this section;

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13;

(5) To a recipient who has provided the agency with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instru-

mentality has made a written request to the agency which maintains the record specifying the particular portion desired and the law enforcement activity for which the record is sought;

(8) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual;

(9) To either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee;

(10) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

(11) Pursuant to the order of a court of competent jurisdiction.

(b) The situations referred to in paragraph (a) (4) of this section include the following:

(1) 5 U.S.C. 552a(c) (4) requires dissemination of a corrected or amended record or notation of a disagreement statement by the Department in certain circumstances;

(2) 5 U.S.C. 552(a) (g) authorizes civil action by an individual and requires disclosure by the Department or the court;

(3) Sec. 5(e) (2) of the Act authorizes release of any records or information by the Department to the Privacy Protection Study Commission upon request of the Chairman; and

(4) Sec. 6 of the Act authorizes the Office of Management and Budget to provide the Department with continuing oversight and assistance in implementation of the Act.

(c) The Department shall make an accounting of each disclosure of any record contained in a system of records in accordance with 5 U.S.C. 552a(c) (1) and (2). Except for a disclosure made under 5 U.S.C. 552a(b) (7), the Privacy Officer shall make such accounting available to any individual, insofar as it pertains to that individual, on request submitted in accordance with § 16.4. The Privacy Officer shall make reasonable efforts to notify any individual when any record in a system of records is disclosed to any person under compulsory legal process, promptly upon being informed that such process has become a matter of public record.

§ 16.12 Fees.

(a) The only fees to be charged to or collected from an individual under the

provisions of this part are for copying records at the request of the individual.

(1) No fees shall be charged or collected for the following: Search for and retrieval of the records; review of the records; copying at the initiative of the Department without a request from the individual; transportation of records and personnel; and first class postage.

(2) It is the policy of the Department to provide an individual with one copy of each record corrected or amended pursuant to his or her request without charge as evidence of the correction or amendment.

(3) As required by the United States Civil Service Commission in its published regulations implementing the Act, the Department will charge no fee for a single copy of a personnel record covered by that Commission's Government-wide published notice of systems of records.

(b) The copying fees prescribed by paragraph (a) of this section are:

\$0.10 Each copy of each page, up to 8 1/2" x 14" made by photocopy or similar process.
\$0.20 Each page of computer printout without regard to the number of carbon copies concurrently printed.

(c) All copying fees shall be paid by the individual before the copying will be undertaken. Payment shall be made in cash, or, preferably, by check or money order payable to "U.S. Department of Housing and Urban Development," and they shall be paid or sent to the office stated in the billing notice or, if none to the Privacy Officer processing the request. Where appropriate, payment may be required in the form of a certified check.

(d) A copying fee totaling \$1 or less shall be waived, but the copying fees for contemporaneous requests by the same individual shall be aggregated to determine the total fee. A copying fee shall not be charged or collected, or alternatively, it may be reduced when such action is determined by the Privacy Officer to be in the public interest.

(e) Special and additional services provided at the request of the individual, such as certification or authentication, postal insurance and special mailing arrangement costs, will be charged to the individual in accordance with other published regulations of the Department pursuant to statute (for example, 31 U.S.C. 433a).

(f) This section applies only to individuals making requests under this part. All other persons shall remain subject to fees and charges prescribed by other and appropriate authorities.

§ 16.13 Penalties.

(a) The Act provides, in pertinent part:

Any person who knowingly and willfully requests or obtains any record concerning an

individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than \$5,000. (5 U.S.C. 552a (1) (3))

(b) A person who falsely or fraudulently attempts to obtain records under the Act may also be subject to prosecution under such other criminal statutes as 18 U.S.C. 494, 495 and 1001.

§ 16.14 General exemptions.

(a) Individuals may not have access to records maintained by the Department but which were provided by another agency which has determined by regulation that such information is subject to general exemption under 5 U.S.C. 552a (j). If such exempt records are within a request for access, the Department will advise the individual of their existence and of the name and address of the source agency. For any further information concerning the record and the exemption, the individual must contact that source agency.

(b) [Reserved]

§ 16.15 Specific exemptions.

Whenever the Secretary of Housing and Urban Development determines it to be necessary and proper, with respect to any system of records maintained by the Department, to exercise the right to promulgate rules to exempt such systems in accordance with the provisions of 5 U.S.C. 552a(k), each specific exemption, including the parts of each system to be exempted, the provisions of the Act from which they are exempted, and the justification for each exemption shall be published in the Federal Register as part of the Department's Notice of Systems of Records. Such publication shall be in accordance with the requirements (including general notice) of 5 U.S.C. 553 (b) (1), (2), (3), (c) and (e) (Administrative Procedures Act—Rulemaking).

APPENDIX A—OFFICIALS TO RECEIVE INQUIRIES, REQUESTS FOR ACCESS AND REQUESTS FOR CORRECTION OR AMENDMENT

HEADQUARTERS

Privacy Officer, 451 7th Street, S.W., Washington, D.C. 20410.

REGION I

Regional Administrator, Rm. 800, John F. Kennedy Federal Building, Boston, Massachusetts 02203.

Area Offices

Director, 999 Asylum Avenue, Hartford, Connecticut 06105.

Director, Bulfinch Building, 15 New Chardon Street, Boston, Massachusetts 02114.

Director, Davison Building, 1230 Elm Street, Manchester, New Hampshire 03101.

Insuring Offices

Director, Federal Building and Post Office, 202 Harlow Street, Post Office Box 1357, Bangor, Maine 04401.

Director, 330 Post Office Annex, Providence, Rhode Island 02903.
Director, Federal Building, Elmwood Avenue, Post Office Box 989, Burlington, Vermont 05401.

REGION II

Regional Administrator, 26 Federal Plaza, Room 3541, New York, New York 10007.

Area Offices

Director, The Parkade Building, 519 Federal Street, Camden, New Jersey 08103.

Director, Gateway 1 Building, Raymond Plaza, Newark, New Jersey 07102.

Director, Grant Building, 560 Main Street, Buffalo, New York 14202.

Director, 686 Fifth Avenue, New York, New York 10019.

Commonwealth Area Office

Administrator, 255 Ponce de Leon Avenue, Hato Rey, Puerto Rico, Mailing Address, G Post Office Box 3869, San Juan, Puerto Rico 00936.

Insuring Office

Director, Westgate North, 30 Russell Road, Albany, New York 12205.

REGION III

Regional Administrator, Curtis Building, 6th and Walnut Streets, Philadelphia, Pennsylvania 19106.

Area Offices

Director, Universal North Building, 1875 Connecticut Ave. NW., Washington, District of Columbia 20009.

Director, Two Hopkins Plaza, Mercantile Bank and Trust Building, Baltimore, Maryland 21202.

Director, Curtis Building, 625 Walnut Street, Philadelphia, Pennsylvania 19106.

Director, Two Allegheny Center, Pittsburgh, Pennsylvania 15212.

Director, 701 East Franklin Street, Richmond, Virginia 23219.

Insuring Offices

Director, Farmers Bank Building, 14th Floor, 919 Market Street, Wilmington, Delaware 19801.

Director, New Federal Building, 500 Quarrier Street, Post Office Box 2948, Charleston, West Virginia 25330.

Special Recovery Office

Director, Lackawanna County Building, Spruce and Adams Avenue, Scranton, Pennsylvania 18503.

REGION IV

Regional Administrator, Room 211, Pershing Point Plaza, 1371 Peachtree Street, N.E., Atlanta, Georgia 30309.

Area Offices

Director, 15 South 20th Street, Birmingham, Alabama 35233.

Director, Peninsular Plaza, 661 Riverside Avenue, Jacksonville, Florida 32204.

Director, Peachtree Center Building, 230 Peachtree Street, N.W., Atlanta, Georgia 30303.

Director, Children's Hospital Foundation Building, 601 South Floyd Street, Post Office Box 1044, Louisville, Kentucky 40201.

Director, 101-C Third Floor Jackson Mall, Woodrow Wilson Avenue, W., Jackson, Mississippi 39213.
 Director, 2309 West Cone Boulevard, Northwest Plaza, Greensboro, North Carolina 27408.
 Director, 1801 Main Street, Jefferson Square, Columbia, South Carolina 29202.
 Director, One Northshore Building, 1111 Northshore Drive, Knoxville, Tennessee 37919.

Insuring Offices

Director, 3001 Ponce de Leon Boulevard, Coral Gables, Florida 33134.
 Director, 4224-28 Henderson Boulevard, Post Office Box 18165, Tampa, Florida 33679.
 Director, 28th Floor, 100 North Main Street, Memphis, Tennessee 38103.
 Director, U.S. Courthouse, Federal Building Annex, 801 Broadway, Nashville, Tennessee 37203.

Service Office

Director, Porterfield Building, 3191 Maguire Boulevard, Post Office Box 20200, Orlando, Florida 32802.

REGION V

Regional Administrator, 300 South Wacker Drive, Chicago, Illinois 60606.

Area Offices

Director, 17 North Dearborn Street, Chicago, Illinois 60602.
 Director, Willowbrook 5 Building, 4720 Kingsway Drive, Indianapolis 46205.
 Director, 8th Floor, First National Building, 600 Woodward Avenue, Detroit, Michigan 48226.
 Director, Griggs-Midway Building, 1821 University Avenue, St. Paul, Minnesota 55104.
 Director, 60 East Main Street, Columbus, Ohio 43215.
 Director, 744 North 4th Street, Milwaukee, Wisconsin 53203.

Insuring Offices

Director, Lincoln Tower Plaza, 524 South Second Street, Room 600, Springfield, Illinois 62704.
 Director, Northbrook Building Number II, 2922 Fuller Avenue, NE., Grand Rapids, Michigan 49505.
 Director, Federal Office Building, 550 Main Street, Room 9009, Cincinnati, Ohio 45202.
 Director, 777 Rockwell, Cleveland, Ohio 44114.

REGION VI

Regional Administrator, Room 14C2, Earle Cabell Federal Bldg., U.S. Courthouse, 1100 Commerce Street, Dallas, Texas 75202.

Area Offices

Director, Room 1490, One Union National Plaza, Little Rock, Arkansas 72201.
 Director, Plaza Tower, 1001 Howard Avenue, New Orleans, Louisiana 70113.
 Director, 301 North Hudson Street, Oklahoma City, Oklahoma 73102.
 Director, 2001 Bryan Tower, 4th Floor, Dallas, Texas 75201.
 Director, Kallison Building, 410 South Main Avenue, Post Office Box 9163, San Antonio, Texas 78285.

Insuring Offices

Director, New Federal Building, 500 Fannin, 6th Floor, Shreveport, Louisiana 71120.
 Director, 625 Truman Street, NE., Albu-

querque, New Mexico 87110.
 Director, 1708 Utica Square, Post Office Box 52554, Tulsa, Oklahoma 74152.
 Director, 819 Taylor Street, Room 13A01 Federal Building, Fort Worth, Texas 76102.
 Director, Two Greenway Plaza East, Suite 200, Houston, Texas 77046.
 Director, Courthouse and Federal Office Building, 1205 Texas Avenue, Post Office Box 1647, Lubbock, Texas 79408.

Service Office

Director, Mills Building, 303 North Oregon, El Paso, Texas 79901.

REGION VII

Regional Administrator, Federal Office Building, Room 300, 911 Walnut Street, Kansas City, Missouri 64106.

Area Offices

Director, Two Gateway Center, 4th and State Streets, Kansas City, Kansas 77101.
 Director, 210 North 12th Street, St. Louis, Missouri 63101.
 Director, Univac Building, 7100 West Center Road, Omaha, Nebraska 68106.

Insuring Offices

Director, 210 Walnut Street, Room 359, Federal Building, Des Moines, Iowa 50300.
 Director, 700 Kansas Avenue, Topeka, Kansas 66603.

REGION VIII

Regional Administrator, Federal Building, 1961 Stout Street, Denver, Colorado 80202.

Insuring Offices

Director, 4th Floor, Title Building, 909-17th Street, Denver, Colorado 80202.
 Director, 616 Helena Avenue, Helena, Montana 59601.
 Director, Federal Building, 653-2nd Avenue N., Post Office Box 2483, Fargo, North Dakota 58102.
 Director, 119 Federal Building, U.S. Courthouse, 400 S. Phillips Avenue, Sioux Falls, South Dakota 57102.
 Director, 125 South State Street, Post Office Box 11009, Salt Lake City, Utah 84111.
 Director, Federal Office Building, 100 East B Street, Post Office Box 580, Casper, Wyoming 82601.

REGION IX

Regional Administrator, 450 Golden Gate Avenue, Post Office Box 36003, San Francisco, California 94102.

Area Offices

Director, 2500 Wilshire Boulevard, Los Angeles, California 90057.
 Director, 1 Embarcadero Center, Suite 1600, San Francisco, California 94111.

Insuring Offices

Director, 244 West Osborn Road, Post Office Box 13468, Phoenix, Arizona 85002.
 Director, 801 I Street, Post Office Box 1978, Sacramento, California 95809.
 Director, 110 West C Street, Post Office Box 2648, San Diego, California 92112.
 Director, 34 Civic Ctr Plaza, Room 614, Santa Ana, California 92701.
 Director, 1000 Bishop Street, 10th Floor, Post Office Box 3377, Honolulu, Hawaii 96813.

Director, 1050 Bible Way, Post Office Box 4700, Reno, Nevada 89505.

REGION X

Regional Administrator, Arcade Plaza Building, 1321 Second Avenue, Seattle, Washington 98101.

Area Offices

Director, 520 Southwest 5th Avenue, Portland, Oregon 97204.
 Director, Arcade Plaza Building, 1321 Second Avenue, Seattle, Washington 98101.

Insuring Offices

Director, 334 West 5th Avenue, Anchorage, Alaska 99501.
 Director, 331 Idaho Street, Post Office Box 32, Boise, Idaho 83707.
 Director, West 920 Riverside Avenue, Spokane, Washington 99201.

FEDERAL DISASTER ASSISTANCE ADMINISTRATION

REGION I

Director, Room 2003-E John F. Kennedy Federal Building, Boston, Massachusetts 02203.

REGION II

Director, 26 Federal Plaza, New York, New York 10007.

REGION III

Director, Curtis Building 7th Floor, 6th and Walnut Streets, Philadelphia, Pennsylvania 19106.

REGION IV

Director, 1375 Peachtree Street, NE., Suite 750, Atlanta, Georgia 30309.

REGION V

Director, 300 South Wacker Drive, Room 520, Chicago, Illinois 60606.

REGION VI

Director, Federal Building, Room 13C28, 1100 Commerce Street, Dallas, Texas 75202.

REGION VII

Director, Federal Office Building, Room 407, 911 Walnut Street, Kansas City, Missouri 64106.

REGION VIII

Director, Lincoln Tower Building, Room 1140, 1860 Lincoln, Denver, Colorado 80203.

REGION IX

Director, 120 Montgomery Street, San Francisco, California 94104.

REGION X

Director, Arcade Building, Room M-16, 1319 Second Avenue, Seattle, Washington 98101.

These are permanent offices. For location of the nearest temporary field office, contact the appropriate Regional FDAA office.

Effective date. These regulations shall be effective September 27, 1975.

Dated: August 21, 1975.

CARLA A. HILLS,
 Secretary of HUD.

HUD/DEPT-1

System name: Accidents, Employees and/or Government Vehicles

System location: Most Department Offices, including the Central Office. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: HUD employees in on-the-job accidents, including accidents involving government-owned vehicles; other individuals who have sustained injury/illness as a result of such accidents.

Categories of records in the system: Details of how accidents occurred and injuries were sustained; property damage incurred.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: the records are used by the Department of Labor when personal injury occurs and/or compensation is involved. GSA uses the records when accidents involve motor vehicles and the repair of those vehicles.

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

Storage: Primarily looseleaf folders; Standard Forms 91, 91A; free text.

Retrievability: Filed by name.

Safeguards: The systems records are kept in lockable file cabinets, desks, and in locked rooms.

Retention and disposal: Procedural disposal follows HUD Handbook General Records Schedule.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A. (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual and supervisor; Federal Government agencies; law enforcement agencies; current or previous employers; accident investigation officers.

HUD/DEPT-2

System name: Accounting Records

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgages; mortgagees; grant/project and loan applicants and recipients; HUD personnel; vendors; brokers; bidders; managers; tenants; individuals within Disaster Assistance Programs; local housing authorities.

Categories of records in the system: Lease and loan collection register; schedules of payments receivable and received; premiums due; claims and fee billing statements; escrow and Certificates of Deposit files; cash flow and budget control file; earnest money register; purchase order log; imprest funds; area managers' accounting records; restitution, maintenance and market expenses; distributive shares records; salary; savings bonds; bills of lading; vouchers; invoices; receipts; cancelled checks.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: U.S. Treasury—for disbursements and adjustments thereof; GAO, GSA and local housing authorities—for audit, accounting and financial reference purposes.

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

Storage: Desks; safes; locked file cabinets; central files; bookcases; ledger trays and binders; tables.

Retrievability: By Social Security number; name; case file number; schedule number; audit number; control number; receipt number; voucher number; contract number; address.

Safeguards: Security checks; limited authorization and access; security guards.

Retention and disposal: GSA schedules of retention and disposal; destruction after six months; transfer to either a Federal Records Center or Archives.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A. (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals; financial institutions; government agencies; HUD personnel; current and previous employers; private firms and corporations doing business with HUD.

HUD/DEPT-3

System name: Appraisal Review Files

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Fee appraisers on FHA-insured single-family properties; HUD staff appraisers and appraisal supervisors; HUD staff architects and supervisors; builders, contractors, developers, and realtors on urban renewal projects whose data is used by FHA appraisers.

Categories of records in the system: Field review of appraisals by staff and fee appraisers; architectural inspection review; review of urban renewal project appraisals.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

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

Storage: Maintained on Standard Form 1038, and sometimes free text; stored in binders.

Retrievability: Primarily by name, sometimes by case file.

Safeguards: Primarily kept in lockable file cabinets.

Retention and disposal: Primarily active files, some historical material. 1038 forms destroyed after 2 years.

System manager(s) and address:

Director
Office of Organization and Management Information

Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Mortgagors of appraised properties; field reviews; correspondents.

HUD/DEPT-4

System location: Most HUD area and insuring offices maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Fee appraisers for single family and multifamily properties, single family credit examiners; applicants for positions as fee examiners; builders, contractors, realtors dealing with appraised property; HUD appraisers and certifiers; correspondents; Social Security recipients in FHA-appraised homes.

Categories of records in the system: Roster of fee appraisers, qualifications; fee appraiser applications and certification; financial interest and employment statements; appraiser work records; appraisal fee, date, approving officer; HUD staff certifiers of fee appraisers; correspondence and inquiries on housing appraisals; application for appraisal; comparison valuation data on housing sales; appraisal of property held by Social Security recipients.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to fee appraisers—for voucher preparation; to VA, mortgagors, mortgagees—notice of FHA action, billing; to local government officials—for code enforcement, health and wetlands clearance; to Environmental Protection Agency—for environmental clearance; to Social Security Administration—for research.

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

Storage: File folders.

Retrievability: Name; case file number (in some cases).

Safeguards: Lockable file cabinets and desks.

Retention and disposal: Primarily active information; also mixed historical and active. Social Security appraisals are historical data. Disposal in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual; other individuals; financial institutions; firms; federal agencies; non-federal agencies; employers; credit bureaus; law enforcement agencies.

HUD/DEPT-5

System name: Architects and Engineers

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Certified architects and engineers dealing with HUD, both directly and on a consultant basis.

Categories of records in the system: Engineering surveys, engineers' letters of map amendment, engineering reviews, established architectural reports, field reviews and performance ratings, job log files, fee and bond schedules, professional insurance policy records, and general work files.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to General Accounting Office—investigation and annual audit; to the U. S. Forest Service, Bureau of Indian Affairs, Corps of Engineers, HEW, and Farmers Home Administration for reference and information; to builders and other individuals dealing with HUD—for planning and specifications review.

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

Storage: Blueprints and specifications in free text form, on standard forms, or in file folders.

Retrievability: Name, by persons' assigned number, case file number, and indexes.

Safeguards: Files are kept in file cabinets, in desks and on shelves. Access is limited by locks, by security checks, or by authorized individuals.

Retention and disposal: Most files are kept active and up-to-date. Some files are partly current and partly historical. Files are destroyed per regulation or stored at a federal records center one year after last date of commitment.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Individual architect or engineer, professional organization, local housing authorities, government agencies,

law enforcement agencies, state boards certifying professional competency.

HUD/DEPT-6

System name: Audits and Financial Reports Files

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Builders; developers; real estate firms; contractors; appraisers; mortgagors; mortgagees; grant/project applicants; individuals in EO and Disaster Assistance files; individuals writing to HUD; HUD personnel; bidders; management firms; project sponsors.

Categories of records in the system: Audit findings and reports; audit control measures; Inspector General's investigational reports; condominium housing and low rent reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: local housing authorities—for reference to and verification of local finance audits; private developers and builders—for financial verification.

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

Storage: Reports are stored in free text on standard forms in file folders.

Retrievability: By name, case file number or audit number.

Safeguards: Locked file cabinets; desks; safes; central files.

Retention and disposal: Files are periodically reviewed and either destroyed or removed to Federal Records Center.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual; current or previous employers; project sponsors; independent and government auditors; credit bureaus and financial institutions; governmental agencies; law enforcement agencies; private individuals; builders; developers; brokers; managers.

HUD/DEPT-7

System name: Board of Contract Appeals Files

System location: Department Central Office. For address see Appendix A.

Categories of individuals covered by the system: Contractors, including sole proprietorships and partnerships, who have appealed to the HUD Board of Contract Appeals.

Categories of records in the system: Files contain correspondence, motions, pleadings and official documents relevant to the appeal, including copy of contract and letter of termination.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to private attorneys—to review material on cases where they are providing representation.

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

Storage: File folders.

Retrievability: Each contract appeal is filed in chronological order using a case file number. Cross-index to files exists.

Safeguards: Records filed in lockable file cabinets.

Retention and disposal: After a case has been adjudicated, the relevant file is removed to an inactive file.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Contractors; HUD Office of General Counsel.

HUD/DEPT-8

System name: Builder, Contractor and Developer Evaluations—Workmanship Adjustment Records

System location: Most area and insuring offices maintain files of this type. For a complete listing of these, with addresses, see Appendix A.

Categories of individuals covered by the system: Builders and contractors of single-family housing; subdivision developers.

Categories of records in the system: Workmanship adjustment records are based on information provided by inspectors on quality of workmanship, management and attitude of builders, contractors and developers in construction of single-family housing and development of subdivisions. The quality of workmanship is compared to that considered normal. Builders' level of activity is checked.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: individual workmanship ratings may be disseminated to the general public. Inquiries on past experience of builders, contractors and developers provided to the Veterans Administration and the Farmers Home Administration (in the Department of Agriculture).

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

Storage: Generally on HUD Standard Forms 2012 (Workmanship Adjustment Record) and 224g (Performance Record, Accelerated Standard Program).

Retrievability: Usually by name of builder, contractor, developer.

Safeguards: Lockable file cabinets.

Retention and disposal: Generally removed from files if builders/contractors are inactive for more than six months. Files on restricted builders are retained.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject and other individuals; Federal and non-federal government agencies; law enforcement agencies; credit bureaus; financial institutions; current and previous employees; corporations or firms; EO counselors and witnesses.

HUD/DEPT-9

System name: Casualty/Hazard Insurance

System location: A few HUD area and insuring offices maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgagors and mortgagees under single-family insurable programs; HUD certifiers; insurers.

Categories of records in the system: Certification of casualty damage/repairs; certification of unavailability of hazard insurance; referral lists of insurers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to Veterans' Administration for information on veterans' participation.

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

Storage: File folders.

Retrievability: Name; case file.

Safeguards: Stored in lockable file cabinets.

Retention and disposal: Primarily active information, some mixed historical and active. Disposed of in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Mortgagors; subject individuals, rehabilitation contractor.

HUD/DEPT-10

System name: Construction Complaints Files

System location: Almost all area and insuring offices maintain files of this type. For a complete listing, with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgagors, builders, developers, and contractors under HUD programs.

Categories of records in the system: Complaints regarding construction and defects; inspection reports; records of complaint status and disposition; compliance reports; related correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to the person or firm complained about—for resolution of the complaint; to IRS—for investigation; to Farmers Home Administration, Veterans Administration; Better Business Bureau and local agencies—for notice of restriction of builders; to state agencies—for investigation.

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

Storage: In file folders

Retrievability: Name of subject individual; case file number, property location.

Safeguards: Records filed in lockable file cabinets with access limited to authorized personnel.

Retention and disposal: Records are partly current and partly historical; disposal in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject and other individuals, current and previous employees, credit bureaus and financial institutions; federal and non-federal agencies.

HUD/DEPT-11

System name: Contractors—Adverse Actions

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Individuals or firms debarred or suspended from participation in HUD programs; corporations, companies or individuals determined to be unsatisfactory risks; suspended, debarred or ineligible grantees; builders of single-family homes whom HUD will not insure; individuals and firms disqualified from doing business with HUD; individuals and firms on the no-business list; mortgagors writing to HUD concerning complaints; builders who fail to adjust valid construction complaints; individuals and firms debarred by executive agencies; dealers and contractors in home improvements and repairs; individuals and firms subject to precautionary measures for practices not consistent with the standards and objectives of the FHA Property Improvement Program; defaulted contractors; developers and contractors who have allegedly not paid prevailing wage rates; individual workers underpaid by a contractor on a HUD project.

Categories of records in the system: Date of action; type of action; termination date and authority under which the action was taken; inspection reports; unsound credit; unsatisfactory past experiences; investigation reports; approvals of mortgages; home improvements to existing single-family homes; evidence of fraudulent or criminal conduct; grand jury indictments and convictions; certifications by builders and subcontractors later found to be in non-compliance; complaints from individuals; precautionary measures.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: VA—to verify acceptability of applications for mortgage insurance; Department of Labor—for review of compliance; urban renewal authorities—to approve contractors on HUD-assisted projects; state labor departments—for review of compliance; state real estate examining boards—to check on builders, contractors, developers and real estate firms with unsatisfactory ratings; Better Business Bureaus—for answering inquiries from consumers; agencies deemed eligible by the Office of Investigation—to acquire information; congressional delegations—to provide information concerning the status of complaints; complainant and his attorney—for review of complaint file for status and information; builder and his attorney—for review of complaint file for status and information.

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

Storage: Magnetic tape/disc/drum; computer print-outs; file folders; binders; card files.

Retrievability: Name; case file number; names of individuals cross-indexed with names of known affiliated firms; identification number; type of program.

Safeguards: Records maintained in desks and lockable file cabinets. Access restricted to authorized personnel only.

Retention and disposal: Obsolete records are destroyed or retained in storage area, as space permits.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual; other individuals; current or previous employers; credit bureaus; financial institutions; other corporations or firms; Federal government agencies; non-federal (including foreign, state and local) government agencies; law enforcement agencies.

HUD/DEPT-12

System name: Contractors', Brokers' and Management Agents, Qualifications and Bidders' Lists

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Qualified bidders, current and past contractors to the Department and to mortgagees and housing authorities. Included are builders, architects, repair and maintenance contractors, developers, real estate firms, brokers, management agents, etc. The Central Office file contains

additional categories, such as consultants, data processing firms, research organizations, etc.

Categories of records in the system: Qualified bidders in Disaster Assistance are listed in Disaster Assistance Files (see separate notice). Qualifications of individuals/firms interested in bidding on HUD contracts and in being considered for HUD-approved lists of contractors. Central Office files include data on minority and 8(a) status of firms. Business data may be included, such as number of years in business, areas of interest, number of employees, financial status, management experience. Sometimes includes evaluation of past performance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to Office of Inspector General and IRS—for investigative purposes; to mortgage lenders and property sellers—for selection of contractors from an approved list.

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

Storage: Material in binders and file folders. Material frequently presented on Standard Form 129. Cassette tapes used by central office.

Retrievability: Filed by firm's/contractor's name.

Safeguards: Material generally filed in lockable file cabinets.

Retention and disposal: Records are discarded when businesses cease to operate or request they be removed from lists. Retrieval also takes place when no new Standard Form 129 is filed upon request. Obsolete records may be sent to Federal Records Center.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals/firms, credit bureaus, financial institutions, surety corporations, other federal agencies.

HUD/DEPT-13

System name: Cost Analyses of Projects

System location: Most area and insuring offices maintain files of this type. For a complete listing of these, with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgagees; grant and project applicants; builders; developers; contractors; appraisers; suppliers; manufacturers; architects; engineers; accountants; cost analysts; HUD personnel.

Categories of records in the system: Cost data, including quotations, estimates and surveys; budget and financing data; processing analysis; income and expense data; property valuation, acquisition and disposition prices; final costs; records of previous dealings; mortgage and grant applications; names of builders; contractors and cost analysts; and correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to GAO—for

audit reviews and investigation; to Department of Labor, VA and Farmers' Home Administration—for data compilation; to mortgagees—for maximum mortgage information; local agencies—for statistical compilation; to attorneys and accountants—for assistance of clients; to mortgagors and contractors—for information pertaining to themselves.

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

Storage: File folders, computer tapes and disks.

Retrievability: By name of individual covered, case file number, and property address.

Safeguards: Stored in lockable file cabinets; access limited to authorized persons; automated files require passwords and coded ID's for use.

Retention and disposal: Files are partly current and partly historical; disposal is according to HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W. Washington, D.C. 20410.

Record source categories: Subject and other individuals; credit bureaus; financial institutions; firms; federal and non-federal agencies; law enforcement agencies; utility companies; accountants; supply houses.

HUD/DEPT-14

System name: Credit Processing

System location: Most area and insuring offices maintain files of this type. For a complete listing of these, with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgagors, repair contractors, management contractors and other contractors and builders under single-family and multi-family housing programs.

Categories of records in the system: Credit reports, trade references, bank references, factual data reports, balance sheets and other information related to financial reliability.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to GAO—for audits and investigation; to IRS—for investigation; to Mortgagees—for a record of processing activity.

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

Storage: Paper records in file cabinets.

Retrievability: Filed by name, project name and case file number.

Safeguards: Records filed in lockable metal file cabinets with access limited to authorized personnel.

Retention and disposal: Files are partly historical and partly active; disposal is according to HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.

Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W. Washington, D.C. 20410.

Record source categories: Subject individuals; other individuals; current or previous employers; credit bureaus; financial institutions; other corporations or firms; federal and non-federal government agencies.

HUD/DEPT-15

System name: Equal Opportunity Housing Complaints

System location: Housing discrimination files are located at the office where originated and may also be transferred to associated area and/or regional offices, or the department's Central office. For a complete listing of these, with addresses, see Appendix A.

Categories of individuals covered by the system: Individuals filing housing discrimination complaints; individuals, officials, and organizations complained about; managers; grant or project applicants; builders; developers; contractors; appraisers; property owners; mortgagors; candidates for positions; witnesses; attorneys; individuals in disaster and EO files; Title VI, VIII and IX complainants. Does not include files on HUD employee complaints regarding their employment. Notices regarding these inquiries under the Privacy Act are published by the U.S. Civil Service Commission.

Categories of records in the system: Allegations of housing discrimination; names of complainant and persons or organizations complained about; investigation information; details of discrimination cases; compliance reviews; marketing activity; complaints under Titles VI, VIII and IX; conciliation files; correspondence; affidavits; complaint status reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: used for investigation, preparing litigation, and monitoring compliance by non-federal EO-concerned agencies, the U.S. Department of Justice (including the FBI), the U.S. Department of Labor (including the Office of Federal Contract Compliance), U.S. Courts, the Veterans Administration, the Farmers' Home Administration, complainants, respondents and attorneys.

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

Storage: Records kept in lockable desks and file cabinets.

Retrievability: Usually retrievable by name of complainant and, in some instances, by case file number.

Safeguards: Offices are locked at night and access to files during the day is limited to authorized personnel. Files are locked.

Retention and disposal: HUD handbooks establish procedures for retention and disposition of records. Generally retained for two years, then transferred to Federal Records Centers for an additional five years.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information

tion or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject and other individuals, Federal and non-Federal government agencies, law enforcement agencies, credit bureaus, financial institutions, current and previous employers, corporations or firms, EO counselors and witnesses.

HUD/DEPT-16

System name: Equal Opportunity Programs—Construction

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Builders; contractors; developers; brokers.

Categories of records in the system: Affirmative action plans; affirmative fair housing marketing plans, applications, and certifications; construction programs; approval letters; pre-construction conference reports; participation records; complaints; compliance reviews; records of consent decrees; monitoring reports; minority contractor lists; related correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to Department of Labor, Office of Federal Contract Compliance—for monitoring and investigation; to state and local governments and agencies—for compliance review and investigation.

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

Storage: In file folders.

Retrievability: Name of subject individual; case file number.

Safeguards: Records stored in lockable file cabinets.

Retention and disposal: Files are current and active; disposal is in accordance with HUD handbook procedures.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject and other individuals, firms, Federal and non-Federal agencies.

HUD/DEPT-17

System name: Experimental Housing Allowance Program—Participant Files

System location: Division of Housing Assistance Research, Assistant Secretary for Policy Development and Research, Central Office.

Categories of individuals covered by the system: Applicants for housing allowances; landlords under Experimental Housing Allowance Program.

Categories of records in the system: Socio-economic, financial and demographic data on EHAP participants.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to EHAP contractors—analysis for research purposes in accordance with program objectives.

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

Storage: Hard copy survey instruments stored in folders, microform, computer printout, punched cards, and magnetic tape/disc.

Retrievability: Manual files by name, social security number, personnel characteristics and case file number. Automated files have been stripped of all personal identifiers and are statistical only.

Safeguards: Access to manual files limited to survey subcontractors. No access to these records by prime contractors and HUD personnel. Records kept in secured areas and vaults.

Retention and disposal: In accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual; current and previous employers.

HUD/DEPT-18

System name: Fellowship Files, Urban Studies

System location: Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410

Categories of individuals covered by the system: Recipients of HUD fellowships in urban studies, and their alternates.

Categories of records in the system: Applications; financial statements; correspondence; policy statements; press releases.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

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

Storage: Free text in file folders.

Retrievability: By name of award recipient and alternate.

Safeguards: Files are stored in lockable metal file cabinets within authorized HUD storage terminals.

Retention and disposal: Files are inactive and historical only. There are no established procedures for disposal of these records.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Individual awardees and alternates; educational institutions.

HUD/DEPT—19 well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Grant and loan applicants; grantees and loan debtors; grantee personnel under research and categorical grant programs.

Categories of records in the system: Grant and loan contracts and related documents; status of grants and loans; personal information on grantee personnel; property descriptions; assignment records; grantee reports; related correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to GAO and private accountants—for audit purposes; to loan creditors—for loan servicing; to National Science Foundation and research institutes—for evaluation and review of research grant proposals.

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

Storage: In file folders and on magnetic tape.

Retrievability: Name; case file number.

Safeguards: Records are stored in lockable file cabinets; access to automated files is obtained by passwords and coded ID's.

Retention and disposal: Records are primarily active, with some historical material. Disposal in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at

the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject and other individuals; financial institutions; firms; federal and non-federal agencies.

HUD/DEPT—20

System name: Homeownership Assistance and Recertification Application (HARAS)

System location: Central Office

Categories of individuals covered by the system: Participants in Section 235 Homeownership Assistance Program.

Categories of records in the system: Historical profile of participant group.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

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

Storage: Magnetic tape/disc/drum.

Retrievability: Name. Application and recertification tables produced quarterly. No output automated system interfaces or terminal inquiry capability.

Safeguards: Computer Facilities are secured and accessible only by authorized personnel, and all files are stored in a secured area. Technical restraints are employed with regard to accessing the computer and data files.

Retention and disposal: Records system is active and kept up-to-date.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Applications; recertifications; Single-family Statistical Reporting System.

HUD/DEPT—21

System name: Housing Assistance Applicants

System location: Many HUD regional, area, and insuring offices maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Individual and organizational applicants, builders, individual correspondents; mortgagors and mortgagees.

Categories of records in the system: Applications of those seeking housing grants and the review of those applications. Applicant's name, address and amount of grant. Also includes correspondence and requisitions for advances.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to local communities—in assessing Community Development Block grants.

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

Storage: Lockable file drawers.

Retrievability: Name; case file number.

Safeguards: Access to authorized personnel only.

Retention and disposal: In accordance with HUD Handbook.

System manager(s) and address:

Director

Office of Organization and Management Information

Department of Housing and Urban Development

451 Seventh Street, S.W.

Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals; corporations or firms; federal and non-federal government agencies.

HUD/DEPT-22

System name: Housing Counseling

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Primarily individual mortgagors and prospective homebuyers seeking advice, information and assistance regarding housing. Individuals with housing problems.

Categories of records in the system: Dates counseling, summaries of aid furnished to inquirers, correspondence. Sometimes includes certificate of completion of counseling, standard forms or letters, purchase of financial data.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: Occasionally used by HUD-approved counseling agencies in providing supportive counseling services such as money management and housekeeping training.

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

Storage: HUD Forms 9906/9907, stored in file folders.

Retrievability: Always retrievable by name. Occasionally files are in chronological order or can be retrieved by case file number on address of property.

Safeguards: Data maintained in lockable desks and file cabinets. In some cases, files are restricted to use by counsellors.

Retention and disposal: A few records are active and kept up-to-date. Older records are treated according to HUD Handbook.

System manager(s) and address:

Director

Office of Organization and Management Information

Department of Housing and Urban Development

451 Seventh Street, S.W.

Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Records usually furnished by subject individual. Occasionally received from other individuals, current or previous employers, credit bureaus, financial institutions, non-federal government agencies, counselling offices, community organizations and mortgage credit examiners.

HUD/DEPT-23

System location: Central Office

Categories of individuals covered by the system: Single-family mortgagors.

Categories of records in the system: Single-family home cases for most recent five-year period.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

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

Storage: Magnetic tape/disc/drum.

Retrievability: Name; case file number.

Safeguards: Computer facilities are secured and accessible only by authorized personnel, and all files are stored in a secured area. Technical restraints are employed with regard to accessing the computer and data files.

Retention and disposal: Records system is active and kept up-to-date.

System manager(s) and address:

Director

Office of Organization and Management Information

Department of Housing and Urban Development

451 Seventh Street, S.W.

Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals; current or previous employers; credit bureaus; financial institutions; cooperatives; firms; federal government agencies.

HUD/DEPT-24

System name: Investigation Files

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: HUD program participants and HUD employees under investigation, including mortgagors, mortgagees, grant and project applicants, builders, developers, real estate firms, contractors and appraisers.

Categories of records in the system: Files contain information concerning investigation of alleged irregularities in connection with HUD programs, and include initial complaints filed against subjects alleging violations, reports of investigation, findings of HUD officials and recommendations and disposition to be made.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to Department of Labor—for investigative research; as a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies. Files may also be used to respond to general requests for statistical information (without personal identification of individuals) under the Freedom of Information Act, or to locate specific individuals for personnel research or other personnel management functions.

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

Storage: Paper records in file folders.

Retrievability: Filed by name, investigation file number, case number.

Safeguards: Records are maintained in locked file cabinets or in metal file cabinets in secured rooms or premises with access limited to those whose official duties require access.

Retention and disposal: Records are primarily active, with destruction of some records after three years and some after five years.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D. C. 20410

Record source categories: Subject individuals; other individuals; current or previous employers; credit bureaus; financial institutions; corporations or firms; law enforcement agencies.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552 a(k)(2) and k(5), all investigatory material in the record which meets the criteria of these sub-sections is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e), (f), (g), (h), and (i) and (f) of the agency regulations in order for the Department's legal staff to perform its functions properly.

HUD/DEPT—25

System name: Legal Actions Files

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Litigants; potential and past claimants against the government.

Categories of records in the system: Threatened, pending and past litigation involving HUD as a party; summons; writs; indictments; pleadings; decisions; legal memoranda; litigation reports; depositions; deficiencies on court judgments; notices of levy; settlement negotiations; legal rulings; claims against the government; employee claims.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to Justice Department—for information for purposes of litigation, and representation of HUD before the courts and performance of all legal work incident thereto; to HEW—for investigation and litigation; to IRS—for investigation, litigation and collection of levies; to Local Housing Authorities—for investigation and litigation; to local governments—for investigation and litigation; to parties to litigation—to provide status and facts in litigation; to private individuals and corporations—to assist co-defendants or to provide documents

and information as required by the Federal Rules of Civil Procedure; various uses under the Freedom of Information Act.

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

Storage: Paper records in file cabinets.

Retrievability: Name; case names; case numbers assigned by courts.

Safeguards: Records maintained in locked and lockable metal file cabinets with access limited to authorized personnel.

Retention and disposal: Files are partly active and partly historical; disposal in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k)(2) and k(5), all investigatory material in the record which meets the criteria of these sub-sections is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e), (f), (g), (h), and (i) and (f) of the agency regulations in order for the Department's legal staff to perform its functions properly.

HUD/DEPT—26

System name: Loan Management Files

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgagors under single-family; multi-family and college housing projects, mortgagees who service insured mortgages; builders of multi-family projects.

Categories of records in the system: Legal documents; correspondence and other information relating to loan servicing.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to United States Attorney—for eviction purposes on foreclosed properties.

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

Storage: File folders.

Retrievability: Name; case number.

Safeguards: Files maintained in lockable file cabinets with access limited to authorized personnel.

Retention and disposal: Files are primarily active with periodic removal of inactive files in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D. C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S. W. Washington, D. C. 20410.

Record source categories: Subject individual; other individuals; credit bureaus; corporations and firms; federal government agencies; nonfederal government agencies.

HUD/DEPT—27

System name: Local Housing Mortgage Insurance

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgagors and mortgagees in FHA-insured single- and multi-family housing; applicants for grant programs; HUD loan management personnel.

Categories of records in the system: Mortgage insurance certifications; special agreements with FHA mortgagors; compliance control cards; listing of areas ineligible for mortgage insurance; advisory information; applicants for mortgage insurance; mortgage data (amount, interest rate, monthly payment, Housing Act section).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

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

Storage: File folders.

Retrievability: Primarily by case file. By name in some cases.

Safeguards: Lockable file cabinets and desks.

Retention and disposal: Primarily active information. Disposed of in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual; financial institutions; credit bureaus; other individuals; firms; local and federal government agencies.

HUD/DEPT—28

System name: Mobile Home Improvement and Rehabilitation Loans—Delinquent/Default

System location: Most area and insuring offices maintain files of this type. For a complete listing of these, with addresses, see Appendix A.

Categories of individuals covered by the system: Mobile home, home improvement, and rehabilitation loan debtors; builders and contractors under mobile home, home improvement and rehabilitation programs.

Categories of records in the system: Names, credit applications, and case histories of borrowers; records of payments; financing statements; delinquent and defaulted loan records and account cards; collection and field reports; records of claims and charge-offs; creditor requests for collection assistance; justifications for closing collection action; related correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to GAO—for

audit purposes; to U.S. Attorney's offices—to obtain judgment liens.

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

Storage: In file folders.

Retrievability: By name and case file number of individual covered.

Safeguards: Files are stored in lockable file cabinets.

Retention and disposal: Files are partly active and partly historical and are disposed of in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual; current and previous employers; credit bureaus; financial institutions; firms; federal and non-federal agencies; law enforcement agencies.

HUD/DEPT—29

System name: Mobile Home, Home Improvement Loans and Rehabilitation Grants and Loans

System location: Most area and insuring offices maintain files of this type. For a complete listing of these, with addresses, see Appendix A.

Categories of individuals covered by the system: Mobile home, home improvement and rehabilitation loan debtors; rehabilitation grantees, builders, dealers and contractors under mobile home, home improvement and rehabilitation loan and grant programs.

Categories of records in the system: Names of borrowers, builders, dealers and contractors; loan and grant applications and eligibility information; loan and grant documents; payment records; registration records; collection records; complaint records; related correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to dealers and contractors—for settling complaints; to lenders—for loan servicing; to tax assessors—for assessment of property; to local agencies—for monitoring and carrying out programs.

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

Storage: In file folders.

Retrievability: By name and case file number of individual covered.

Safeguards: Records stored in lockable file cabinets.

Retention and disposal: Records are primarily active with some historical information; disposal is in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Financial institutions; subject and other individuals; federal and non-federal agencies; firms, current and previous employers; law enforcement agencies.

HUD/DEPT—30

System name: Mobile Home Park Inspection

System location: Only a few of the locations in Appendix A.

Categories of individuals covered by the system: Individual Owners, builders and developers of mobile home parks.

Categories of records in the system: Property descriptions of mobile home parks; approval records; eligibility data; records of operation and maintenance; inspection records; related correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to National Bureau of Standards—for testing and data collection; to mortgagees—for determination of mortgage qualifications.

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

Storage: In file folders.

Retrievability: By name and case file number of subject individual.

Safeguards: Records stored in lockable file cabinets.

Retention and disposal: Records are primarily current, with some historical data. Records are periodically updated.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject and other individuals; financial institutions; firms; non-federal agencies.

HUD/DEPT—31

System name: Mortgage Servicing Files on HUD-Held Properties

System location: All HUD area and insuring offices. For a complete listing of these offices, with addresses, see appendix A.

Categories of individuals covered by the system: Project sponsors; inspectors; tenants; landlords; local housing authorities; private accountants and auditors; management agents; mortgage institutions, cooperative members; service contractors and brokers; mortgage assignees and assignors.

Categories of records in the system: Project servicing dockets; management reviews of sponsor qualifications; review of mortgage defaults and mortgagee foreclosure; individual and organizational case studies; register of home mortgage commitments; mortgage assignments and transfers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to GNMA and FNMA for financial referral to the Department of Justice; to General Accounting Office for purposes of investigation and potential foreclosures; to local tenant groups and Legal Aid for review of proposed rental increases; to the general public for reference.

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

Storage: Free text; standard forms; computer print-outs; binders and file folders.

Retrievability: By name, case file number, organizational code, project number, chronologically.

Safeguards: Files are kept in desks, file cabinets (locked and unlocked), safes and bookshelves. Access is limited to authorized personnel by locks and limited security checks.

Retention and disposal: Files are mostly active and kept up to date; and are both partly current and partly historical.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Inspectors; financial institutions; subject landlords; tenants, law enforcement agencies; local housing authorities; government agencies; private contractors and managers; private cooperatives and corporations.

HUD/DEPT—32

System name: Mortgages—Delinquent/Default

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgagors under single- and multi-family housing programs seeking assistance in preventing foreclosures; mortgagors whose mortgages are held by the Secretary and whose payments are delinquent; mortgagors complaining about loan servicing; mortgagees under single- and multi-family housing programs; mortgagees servicing defaulted loans; banks lending money; builders, developers and other firms under multi-family housing programs; contractors, developers or lien holders under multi-family programs; builders, developers, real estate firms, contractors, appraisers, other corporations and firms making

repair bids; defaulted borrowers; project owners; project managing agents; former owners; tenants; area managers; HUD personnel in area and regional offices.

Categories of records in the system: Foreclosure reports; bankruptcy reports; audit reports; inventory reports; monthly accounting records; credit documents; financial statements; mortgage delinquencies; records of collection efforts on defaulted loans; payment records of mortgagors under Section 234 of the National Housing Act; recertification of Section 235 National Housing Act; recertification violations of Section 235 mortgagors; loan servicing; assistance for mortgagors in lowering payments of helping to make mortgage payments; geographic location of single-family mortgagors in default; project fiscal data; project processing activities that may have led to projects going into default; properties conveyed to HUD; property information supplied by HUD area managers; proposed transfers of physical assets; managing plans; present management capabilities; repair bids; fire inspections; post-closing complaints; congressional inquiries resulting from mortgagor complaints.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to FHA—for insurance investigations; to IRS and GAO—for investigations; to state banking agencies—to aid in processing mortgagor complaints; to state housing and redevelopment agencies—for follow-up servicing; to mortgagors—to check on the status of cases and referrals of complaints; to counseling agencies—for counseling; to Legal Aid—to assist mortgagors.

Storage: Free text; Standard Forms 2068 and 2068S; binders; notebooks.

Retrievability: Name; Social Security number; case file number; name of mortgagor; property address.

Safeguards: Records maintained in desks and lockable file cabinets; access limited to authorized personnel.

Retention and disposal: Obsolete records destroyed or shipped to Federal Records Center in compliance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual; other individuals; current or previous employers; credit bureaus; financial institutions; other corporations or firms; Federal Government agencies; non-federal government (including foreign, state and local) agencies; law enforcement agencies.

HUD/DEPT—33

System name: Multifamily Projects Case Files

System location: Almost all HUD area and insuring offices maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgagors, builders, contractors, and developers of multifamily projects.

Categories of records in the system: Mortgage servicing documents; rent and management records; engineering and architectural data and records; credit and financing information; construction data and changes; inspection reports; occupancy information; legal documents; cost certifications; closing documents; endorsements; leases; appraisal data; commitment records; processing data; property disposition records; proposals; related correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to General Accounting Office—for audit purposes; to mortgagors and mortgagees—information on project requirements; to state and local government agencies—for environmental clearance and EO compliance; to tenants and management agents—notice on actions.

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

Storage: In file folders and on magnetic tapes, drums and disks.

Retrievability: Name of subject individual; case file number.

Safeguards: Records are kept in lockable file cabinets. Access to automated systems is by passwords and coded identification cards.

Retention and disposal: Records are partly current and partly historical. Disposal is in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject and other individuals; current and previous employers; credit bureaus; financial institutions; firms; federal, non-federal and law enforcement agencies.

HUD/DEPT—34

System name: Pay and Leave Records of Employees

System location: Department Central Office

Categories of individuals covered by the system: HUD employees.

Categories of records in the system: Name, Social Security number and employee number, grade, step and salary; organization, retirement or FICA data as applicable; Federal, state and local tax deductions; regular and optional Government life insurance deduction(s); health insurance deduction and plan or code; cash award data; jury duty data; military leave data; pay differentials; union dues deductions; allotments, by type and amount; financial institution code and employee account number; leave status and data of all types (including annual, compensatory, jury duty, maternity, military, retirement disability, sick, transferred, and without pay); time and attendance records, including number of regular, overtime, holiday, Sunday and other hours worked; pay period number and ending dates; cost of living allowances; mailing address; co-owner and/or beneficiary of bonds, marital status and number of dependents; and 'Notification of Personnel Action.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: transmittal of data to U. S. Treasury to effect issuance of paycheck to employees and distribution of pay according to employee directions for

savings bonds, allotments, financial institutions and other authorized purposes. Annual reporting of W02 statements to Internal Revenue Service and the individual.

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

Storage: Manual, machine-readable and magnetic media.

Retrievability: Name of employee; Social Security Number.

Safeguards: Physical, technical, and administrative security is maintained with all storage equipment and/or rooms locked when not in use. Admittance, when open, is restricted to authorized personnel only. All payroll personnel and computer operators and programmers are instructed and cautioned on the confidentiality of the records.

Retention and disposal: Retained on site until after GAO audit, then disposed of, or transferred to Federal Records Storage Centers in accordance with fiscal records program approval by GAO, as appropriate, or General Record Schedules of GSA.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals, supervisors, timekeepers, official personnel records, and IRS.

HUD/DEPT—35

System name: Personnel Medical Records

System location: In most HUD offices. For a complete list of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: HUD personnel and individuals writing to the Department.

Categories of records in the system: Pre-employment medical records and individual medical records of HUD employees including standard medical forms completed by doctors at time of entrance of duty.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to federal agencies—for review when considering hiring and upon transfer to another agency.

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

Storage: In lockable file cabinets.

Retrievability: By name.

Safeguards: Records kept in locked file cabinet with access by authorized personnel only.

Retention and disposal: Active, kept up-to-date, partly historical. Maintained until retirement, resignation or transfer. Forwarded with official personnel folder when sent out for disposition according to HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Primarily from subject individual.

HUD/DEPT—36

System name: Personnel Timekeeping System

System location: All Department offices. For a complete listing of offices, with addresses, see Appendix A.

Categories of individuals covered by the system: HUD employees.

Categories of records in the system: All timekeeping records, including time and attendance files, individual daily time reports, daily time sheets, adjustments to time and attendance, overtime (worksheets, approvals and control reports), leave applications and reports, other leave records and paid productive hour records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to GAO—for audit; to Civil Service Commission—for statistics; to other Federal government agencies—to facilitate employee transfers; and to State agencies—to verify workmen's compensation injury claims.

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

Storage: Generally, in free text form on Standard Forms. Data are maintained in books, looseleaf binders, or file folders.

Retrievability: Always retrievable by name and often by Social Security number. Occasionally retrievable by chronological or organizational order, or by office code.

Safeguards: Files kept in lockable desks, file cabinets and safes.

Retention and disposal: Inactive files treated according to the HUD Records Disposition Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington D.C. 20410.

Record source categories: Primarily subject individuals and supervisors. Occasionally from other individuals, HUD or previous employers, or other Federal government agencies.

HUD/DEPT—37

System name: Personnel Travel System

System location: All Department offices maintain employee travel records, and several maintain driver permit application records. For a complete listing of offices, with addresses, see Appendix A.

Categories of individuals covered by the system: HUD personnel.

Categories of records in the system: All travel records, including vouchers, requests, advances, receipts for requests, orders, applications for Federal vehicles, driver permits, U.S. Government driver's licenses, driver's physical fitness forms, motor pool records, monthly motor vehicle use records and GSA vehicle mileage reports.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to Treasury—for payment of vouchers; driver's license information transmitted to Department of Transportation for verification with National Driver Register; vouchers and receipts are available to GAO and GSA for audit purposes and vouchers are verified by private transporters.

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

Storage: Files generally stored on standard Government forms in individual file folders or binders.

Retrievability: Almost always retrievable by name, occasionally by Social Security number, and rarely by numerical or chronological sequence or by organization or vehicle.

Safeguards: Kept in lockable desks or file cabinets.

Retention and disposal: Records are active and kept up-to-date. Files purged in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual and supervisors.

HUD/DEPT—38

System name: Pre-Construction Plans, Bids and Contracts

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Bidders; contracting builders; developers, service agents and management dealers; local housing authorities; appraisers; project applicants and recipients.

Categories of records in the system: Building permits; pre-construction analysis files; precautionary files; bid tabulation controls; rotation schedules and reviews; rebid invitations; procurement bidding; contract files; fee schedules; manufactured housing records; interstate land sales; compliance and exemption records; sewage data and street improvements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to General Accounting Office, IRS, Federal Trade Commission, Securities and Exchange Commission, U.S. Postal Service, Department of Transportation, Department of Labor and various state agencies for purposes of investigations. To financial institutions for reference in assignment of accounts receivable and contract rights. To local builders and contractors—for determination of compliance with local building codes.

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

Storage: Free text; standard forms; file folders; binders; cards; books and ledgers.

Retrievability: Name; case file number; project number; organizational code.

Safeguards: Files are maintained in file cabinets, desks, safe and on file shelves. Access is generally limited to authorized persons with keys within security bounds.

Retention and disposal: Most files are active and kept up-to-date; partly current and partly historical; files are disposed of in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Bidders; appraisers; contractors; inspectors; financial institutions; government agencies; law enforcement officials; architectural and engineering professional organizations; project sponsors; developers; dealers and brokers; individuals dealing with HUD.

HUD/DEPT—39

System name: Project Files

System location: Central Office, regional, area and some insuring offices. For a complete listing of these offices with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgagees; mortgagees; project applicants; builders; contractors; project sponsors; project and individual applicants that are living in the project; bidders wanting to bid on the project when it goes on the market; bidders for repairs.

Categories of records in the system: Files contain all papers pertaining to each project funded under the various assistance programs of the Department. Includes names of builders; mortgagees; mortgagees; sponsors; credit and financial statements; previous participation forms; entire project processing information; contracts; resolutions; cooperation agreements; attorneys' opinions executed in connection with public housing projects; correspondence relating to preparation, review and interpretation of such documents; addresses; telephone numbers; Social Security numbers; financial statements; partnership agreements; construction contracts; options of project participants; closing documents; miscellaneous correspondence between the parties concerned; data concerning the composition of the governing bodies of project applicants.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

graphs in prefatory statement. Other routine uses: to GAO and IRS—audits and investigation; to legal services attorneys—for analysis of project contracts and budgets; to HEW—multi-family project processing through Cost Center; to HEW, Department of Labor and Commodity Services Administration for coordination of integrated grant administration; to Department of Labor—to answer requests for wage determinations.

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

Storage: File folders; partial computer storage.

Retrievability: Name; case file, number; locality; name of HUD program; name of local housing authority; project name.

Safeguards: Files maintained in lockable metal file cabinets with access limited to authorized personnel. Partial storage in computer with code and passwords for security.

Retention and disposal: Information removed from system when unneeded; disposal in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D. C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D. C. 20410.

Record source categories: Subject individuals; other individuals; current or previous employers; credit bureaus; financial institutions; corporations and firms; federal government agencies; project applicants; architects; attorneys; local housing authorities; local governments; surety companies; title insurance companies.

HUD/DEPT—40

System name: Property Inspection Reports System

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: HUD inspectors; architects under single-family programs; construction analysts; single-family mortgagors; single-family mortgagors writing complaints.

Categories of records in the system: Record and evaluation of field inspectors' performance; requests for inspections; assignment schedules; builders' workmanship adjustment records; training schedules; latent defect inspections; individual complaints.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to mortgagee—for information on eligibility of property for FHA insurance; to auditors, architects, contractors and project sponsors—for information on inspections and necessary follow-up actions; to FNMA and GNMA—correspondence relating to inspection.

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

Storage: File folders.

Retrievability: Name of inspector; case file number; project number; program type; subdivision number; ASP number.

Safeguards: Lockable file cabinets; locked desks. Only authorized persons have access. Buildings secured after hours.

Retention and disposal: Some files sent to Records Center after one year; some destroyed when outdated or when case closed; some destroyed in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Financial institutions; FHA architect supervisors; HUD inspectors.

HUD/DEPT—41

System name: Public Affairs Directory

System location: Central Office

Categories of individuals covered by the system: State governors; city mayors.

Categories of records in the system: Names and addresses of individuals as well as news media organizations, trade and business journals, service organizations and other special interest groups.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

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

Storage: Magnetic tape/disc/drum.

Retrievability: Name. Master directory and mailing labels.

Safeguards: Computer facilities are secured and accessible only by authorized personnel, and all files are stored in a secured area. Technical restraints are employed with regard to accessing the computer and data files.

Retention and disposal: Records system is active and kept up-to-date.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D. C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

dix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Data transcription sheets.

HUD/DEPT-42

System name: Public Housing Rent Subsidy Programs

System location: Many regional, area, insuring and service offices as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Low-rent housing applicants and recipients; HUD personnel; local housing authorities; mortgagors; mortgagees and financial institutions; realty brokers, construction contractors and builders; area managers; local service contractors.

Categories of records in the system: Section 236 Applications and Recertifications; rent supplement applications/vouchers/schedules; monthly reports of excess collections; subsidized tenant move-out records; requests for reservations; and permission-to-occupy certifications.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to General Accounting Office—for purposes of audit; to IRS—for investigation; to local and state housing authorities—for reference purposes.

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

Storage: Free text; standard forms; computer print-outs; file folders.

Retrievability: Name; case file number according to project; organizational program; building number.

Safeguards: Limited access; locked file cabinets; security checks; and limited authorization.

Retention and disposal: Files are active and kept up-to-date; partly current and partly historical. Files are either sent to GSA Federal Records Center for storage or disposed in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A. (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual; other individuals; current or previous employers; credit bureaus; financial institutions; other corporations or firms; federal government agencies; non-federal government agencies; project and project managers.

HUD/DEPT-43

System name: Real Estate Files

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Management brokers appointed to manage HUD-acquired property; management

agents for single-family and multi-family projects; real estate brokers who are area managers for HUD-acquired properties; real estate brokers selling repossessed homes for FHA; real estate brokers selling HUD properties; real estate brokers involved in management of HUD-owned single-family and multi-family projects; brokers who have signed non-discrimination statements; builders and contractors under property disposition programs; bidders on property; purchasers of HUD homes with structural defects; potential buyers.

Categories of records in the system: HUD single-family property disposition; real estate activity in urban renewal projects and public housing; management of acquired, insured projects; performance under terms of contract; contractors' qualifications and prior experience; development proceeds; local authority budgets; authorized proclainers; credit; profit and loss; financial transactions; repairs to property in inventory; property acquisition and disposition; exhibits submitted by developers; information on purchasers of HUD homes with structural defects; information on development of new subdivisions; market needs and available maximum market rent and environment assessment; complaints against real estate brokers.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to IRS—for auditing income tax returns; to insurance companies—to file claims for amounts due; to mortgagees—to review the credit of prospective purchasers; to local public authorities—to check on acquisition, re-use and prices of real estate.

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

Storage: Free text; Standard Form 9556; card file; file folders; binders.

Retrievability: Name; Social Security number; personal characteristics; case file number; contract number; geographic area; identification number.

Safeguards: Desk; lockable file cabinet; safe; central file.

Retention and disposal: Obsolete records are destroyed or sent to storage facility.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals; other individuals; current or previous employers; credit bureaus; financial institutions; other corporations or firms; federal government agencies; non-federal (including foreign, state and local) government agencies.

HUD/DEPT-44

System name: Relocation Assistance

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Displaced persons; relocation claimants and applicants; builders, developers, contractors and appraisers under relocation programs.

Categories of records in the system: Names of relocation claimants; personal and family financial data; relocation needs and problems; claims; documentation and evaluation of claims; recommendations; inquiries and grievances; responses to grievances; audits.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to GAO—for audit purposes; to the Department of Justice—for investigation and prosecution; to local public agencies—for processing, training and monitoring purposes.

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

Storage: In file folders.

Retrievability: By name and case file number of subject individual.

Safeguards: Stored in lockable file cabinets; access limited to authorized personnel.

Retention and disposal: Files are partly active and partly historical; disposal is in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject and other individuals; current and previous employers; credit bureaus and financial institutions; firms; federal and non-federal agencies; law enforcement agencies.

HUD/DEPT—45

System name: Repair and Maintenance Contractors

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Repair and maintenance contractors; mortgagors whose property is repaired or maintained.

Categories of records in the system: Names of contractors; records of repair and maintenance contracts; successful bidders; amounts of bids; contract price; completion dates; descriptions of property; certifications of repairs completed; letters to proceed; mortgagor personal data; mortgage notes; requests for repair; credit reports; purchase order records; related correspondence.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to IRS—for verification of payments and investigation; mortgagors—for mortgage servicing purposes.

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

Storage: In file folders.

Retrievability: By name and case file number of subject individual.

Safeguards: Records stored in lockable file cabinets.

Retention and disposal: Records are partly current and partly historical; disposal is in accordance with HUD Handbook procedures.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject and other individuals; current and previous employers; credit bureaus; financial institutions; firms; federal and non-federal agencies.

HUD/DEPT—46

System name: Single Family Case Files

System location: Many regional, area, insuring and service offices, as well as the Central Office, maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Mortgagors, mortgagees, builders, developers, contractors and real estate firms in connection with single family housing programs of the department.

Categories of records in the system: Files contain standard records used for day-to-day maintenance of single-family mortgage accounts, including daily case control, mortgage servicing, payment records, loan recommendations, information concerning borrowers' inability to make payments, cancellations and monies returned. Also, requests for refinancing, income and employment information used in determination of applicant eligibility, insurance documents, sales agreements, conditional and firm commitments, owner requests for appraisals, property descriptions, correspondence and complaints.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to Welfare agencies—for fraud investigation, to VA—for coordination with HUD in processing construction complaints. Congressional delegation—providing information concerning status of complaints. Complainants and attorneys representing them—review of complainant file for status and information. Builders and attorneys representing them—review of complainant file for status information.

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

Storage: In file folders and computerized tape, disc and drum.

Retrievability: Filed by name of individual and case file number.

Safeguards: Records maintained in locked and lockable file cabinets with access limited to authorized personnel.

Retention and disposal: Records are primarily active with some historical data. Inactive files are normally disposed after a two-year period.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals, current or previous employers, credit bureaus and financial institutions, corporations and firms and federal government agencies.

HUD/DEPT-47

System name: Spanish-Speaking Program

System location: Central Office

Categories of individuals covered by the system: Spanish-speaking applicants for employment; Spanish-speaking Equal Opportunity complainants; Spanish-speaking firms and groups.

Categories of records in the system: Equal Opportunity grievances by Hispanics; capability statements of Hispanic firms and groups for contracting and grants; Hispanics seeking employment.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

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

Storage: File folders

Retrievability: Name; personal characteristics.

Safeguards: Files are maintained in locked and lockable file cabinets and desks with access limited to authorized personnel.

Retention and disposal: Files are partly current and partly historical with no special disposal techniques.

System manager(s) and address:

Director

Office of Organization and Management Information

Department of Housing and Urban Development

451 Seventh Street, S.W.

Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A. (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals; other individuals; corporations or firms; federal government agencies; non-federal government agencies.

HUD/DEPT-48

System name: Subdivision Files

System location: Almost all HUD area and insuring offices maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Sponsors, developers and builders of subdivisions; planners, engineers, and architects; mortgagees for single-family housing; builders of single-family and multi-family housing; real estate contractors involved in subdivision processing; developers involved in HPMC subdivision activity; mortgagees, builders, developers, real estate firms, contractors and other individuals who are involved in establishing approved subdivisions; developers of single-family tracts and planned unit developments and condominiums using short-cut processing.

Categories of records in the system: Contracts and notes involving land and lot purchases by builders and developers; financial statements on sponsors; subdivision proposals; status of processing of subdivision proposals; land ownership; information on new applicants; analysis and approval of new subdivisions; HUD-FHA specialist reports from state and area clearing houses; memos from appraisers about conditions of subdivisions; engineering documents; recorded plat covenants; grading and drainage elevations; subdivision feasibility analysis; planned unit development; subdivision improvements; multi-family projects; developer's subdivision plans; trade styles under which sponsors's organization has operated; bid condition approvals; proposed selling prices; zoning regulations; flood, mud, water and sewer hazards; plans and exhibits of subdivisions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to Veterans Administration—for use in determining acceptance under VA programs and for appraisals; to Farmers Home Administration—for use in determining acceptance under FHA programs and for appraisals; Soil Conservation Service—to Members of Congress—for answering inquiries and responding to complaints; mortgagees—for determining application acceptability before submission; to developers, builders, mortgagees, real estate firms, contractors and other individuals—for assisting sponsors in land planning and getting information on the status of processing of specific subdivision proposals; to state agencies—for review; to municipalities—for review; to developers, builders, mortgagees, real estate firms, contractors and other individuals—for assisting sponsors in land planning and getting information on the status of processing of specific subdivision proposals; to state agencies—for review; to municipalities—for review; to developers, builders, mortgage companies and banks—for making financing decisions; to the U.S. Army Corps of Engineers—to make flood plain determinations; to regional planners—for studies.

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

Storage: Standard forms; file binders; card files.

Retrievability: Name; case file number; subdivision name; ASP number or SPO numbers; city name.

Safeguards: Records are stored in desks; card files and lockable file cabinets. Access restricted to authorized personnel.

Retention and disposal: Obsolete files are destroyed or shipped to the Federal Records Center for storage.

System manager(s) and address:

Director

Office of Organization and Management Information

Department of Housing and Urban Development

451 Seventh Street, S.W.

Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer

at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: subject individual; other individuals; financial institutions; other corporations or firms; federal agencies; non-federal (including foreign, state and local) government agencies; standard forms.

HUD/DEPT—4HUD/DEPT—49

System name: Wage Complaints and Compliance

System location: Most HUD area and insuring offices maintain files of this type. For a complete listing of these offices, with addresses, see Appendix A.

Categories of individuals covered by the system: Construction and maintenance employees of builders and contractors working on HUD-assisted projects.

Categories of records in the system: Wage and fringe benefits complaints by employees and unions; Pre-construction conferences; records on labor standards and related acts on federally-assisted projects; wage surveys and payrolls submitted by prime and sub-contractors; wage violation data and Department of Labor wage determinations on site interviews; compliance reports, enforcement reports; certification records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to Department of Labor—for investigation and data compilation; to IRS and state commissions—for investigation; to unions, contractors and mortgage companies—for information and compliance; to attorneys—for litigation.

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

Storage: File folders.

Retrievability: Case file number (project, mortgage, grant, etc.); name; Social Security number; individual's address; employer.

Safeguards: Primarily in lockable metal file cabinets; some in safes.

Retention and disposal: Disposition in accordance with HUD Handbook.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A. (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Individual employees and employers; federal and other state agencies; Unions.

HUD/DEPT—50

System name: Freedom of Information Act Files

System location: Headquarters, Office of General Counsel

Categories of individuals covered by the system: General public.

Categories of records in the system: Correspondence; requests for documents; requests for administrative review; copies of requested documents.

Authority for maintenance of the system: To the general public.

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

Storage: File folders.

Retrievability: Name.

Safeguards: File cabinets.

Retention and disposal: Files are active and kept up-to-date; partly current and partly historical.

System manager(s) and address:

Assistant General Counsel for Finance and Administrative Law
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals.

HUD/DEPT—51

System name: Standards of Conduct File

System location: Headquarters, Office of General Counsel

Categories of individuals covered by the system: HUD employees.

Categories of records in the system: Financial statements; statements of employment.

Authority for maintenance of the system: To the Department of Justice, the Federal Bureau of Investigation, and the Internal Revenue Service for purposes of investigation.

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

Storage: File folders and standard forms.

Retrievability: Name.

Safeguards: Locked file cabinets.

Retention and disposal: Files are active and kept up-to-date; partly current and partly historical.

System manager(s) and address:

Assistant General Counsel for Finance and Administrative Law
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals.

HUD/FDAA—I

System name: Federal Disaster Assistance Administration Files

System location: Disaster Field Offices. Contact cognizant regional FDAA offices for locations of field offices. Regional FDAA offices are located as follows:

Region I

Room 20030E John F. Kennedy Federal Building
Boston, Massachusetts 02203

Region II

26 Federal Plaza
New York, New York 10007

Region III

Curtis Building 7th Floor 6th and Walnut Streets
Philadelphia, Pennsylvania 19106

Region IV

Suite 750 1375 Peachtree Street NE
Atlanta, Georgia 30309

Region V

300 South Wacker Drive Room 520
Chicago, Illinois 60606

Region VI

Federal Building Room 13C28 1100 Commerce Street
Dallas, Texas 75202

Region VII

Federal Office Building 911 Walnut Street Room 407
Kansas City, Missouri 64106

Region VIII

Lincoln Tower Bldg., Room 1140, 1860 Lincoln
Denver, Colorado 80203

Region IX

120 Montgomery Street
San Francisco, California 94104

Region X

Arcade Building, Room M016, 1319 Second Avenue
Seattle, Washington 98101

Categories of individuals covered by the system: The files relate to disaster assistance functions. The files concern: builders, developers, real estate firms and other vendors, such as: mobile homes, furniture and truck rental, utility supplies and towing contractors; grant/project applicants for aid (individuals and organizations); equal opportunity; qualified bidders on procurements; HUD personnel and candidates for temporary and permanent positions, some of which are on response cadre; past, present and inactive tenants; candidates for permanent or temporary housing in facilities such as mobile homes, or who withdrew from such housing; victims of natural disasters (fire, flood, tornado) and their case files.

Categories of records in the system: Personal information is contained, such as names, addresses, sex, Social Security number, telephone number, wages, job location, family income, insurance data (relating to homes) as pertaining to some applicants, and disapproval or approval of applicants for aid or employment. There is general correspondence concerning complaints, plaudits, reinstatement in jobs or housing, requests for disbursement of payments and inquiries from tenants and landlords in regard to aid. Files also include general administrative and fiscal information, including payroll, payment schedules and forms, travel vouchers, time and attendance records, applications, termination notices, individual and family grant programs, damage and relocation information, leases, contracts, disaster cadre registers, listings of emergency repairs given as a result of specific natural disasters, reasons for tenant eviction or denial of aid, sales information on homes after tenant purchase, listings of debarred contractors, and status of dispositions of applicants for housing.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to the FBI—for investigation of possible Small Business Administration loan frauds; to GAO—for the investigation of files and to verify family composition, income and sources of housing plans; to the Small Business Administration—to verify household composition and actual disaster assistance; forwarding of addresses; information concerning contracts; to Local Departments of Public Assistance—for verification of occupancy of victims, their income and relocation; to House of Representatives—specific tenant information is given in response to a Congressional inquiry; to Post Office—in regard to location of individuals; to Departments of Motor Vehicles and State Tax Departments—to find serial number and cost of mobile homes

and vehicles; to Local Housing Authorities and departments of community affairs (by state) and the Committee on Economic Opportunity—to determine family compositions, income and sources of income and housing plans concerning relocation; to law enforcement agencies—for relocation information; to Local Housing Authorities and local township police—concerning the forwarding of addresses; to utility companies—in regard to lease dates and forwarding addresses; to Defense Department Investigating Service—concerning mobile home occupancy dates; to county investigating services—to verify address and number of people within households; to local relief and government agencies—information on victims and housing; property ownership; tax rebates; to disaster victims—in regard to disaster assistance and its termination.

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

Storage: Some files are in free text form, such as notes, memos, ledger cards, printed cards and 3" x 5" cards, as well as daily reports. Other files are on Standard Forms Nos. SF 171, SF 52, SF 50, 491.1 or various certification forms relative to the need for assistance; or computer print-outs (some of which concern summaries of payments). Other forms of storage are file folders and Disaster Management Information Systems. Any computer files are controlled and reported at the Central Office level.

Retrievability: Administrative file systems are filed alphabetically and geographically by name and then by case file number, Direct Reimbursement Number, lease number, some are cross-referenced by Social Security number, application number, personal characteristics (e.g., age, marital status, GS level, etc.); subject matter; designated disaster and area; functional assignment cards; accession to record group number. Most correspondence written in free text is filed by title of office and office designation. Some active files are within the program subject file classification method.

Safeguards: Records exist in cardboard boxes, lockable desks, in notebooks in bookcases, in tape-disc libraries, in lockable file cabinets, or in central files outside local offices. Records are kept in buildings which are secured after work hours, and most offices are locked when unattended. Confidential files are seen only by authorized personnel (in Regional Emergency Offices). Other files are seen only by personnel authorized to enter offices (whose names are posted on lists) and who are overseen by Disaster Assistance employees. In military installations, the records are maintained in locked areas; only authorized personnel have keys to files or offices. Computer and data files are stored in computer facilities which are secured and accessible only to authorized personnel; all files are stored in a secured area. Technical constraints are employed with regard to access and the methods employed in order to maintain security include the use of unique account codes; file qualifiers; file names; read/write protection keys; site identification codes; run identification codes; and password codes.

Retention and disposal: Some files are active and kept up-to-date, but usually only when an individual is receiving assistance. Other files are inactive and historical only, unless a follow-up on a case is needed within one year after the close-down of the Disaster Field Office. Other files are partly current and partly historical. Some files are permanently retained, others destroyed by shredding according to appropriate schedules concerning disposal authority. When Disaster Field Offices are actively functioning, inactive case files are placed in inactive files. When Disaster Field Offices are inactive, case files are stored at record centers. However, when a Disaster Field Office has been audited and closed out, any pertinent records are shipped to Regional Offices. There is a periodic review of some files, which includes the removal of obsolete information. Once a tenant is terminated or has vacated a temporary residence, his or her records are placed in a 'vacate file.' Some files are eventually sent to the archives for permanent retention.

System manager(s) and address:

Director

Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR

Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Social service and other state and city agencies; subject individuals; current or previous employers; credit bureaus; financial institutions; corporations or firms; Federal Government agencies; non-Federal Government agencies; law enforcement agencies; Disaster Field Offices; various numbered HUD forms; unnumbered survey forms; authorizations and statements.

HUD/FIA-1

System name: Federal Crime Insurance

System location: Federal Insurance Administration, U.S. Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Categories of individuals covered by the system: Federal crime insurance policyholders.

Categories of records in the system: Names of policyholders; addresses of insured premises; type of premises; class of business; annual gross receipts; amounts and types of insurance desired; annual premiums; claims information; record of claim payments; record of premium payments; payments of commissions to agents.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to Safety Management Institute, Insurance Company of North America, and Aetna Casualty and Surety Company for billing, verification of coverage, claims adjusting and issuance of policies.

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

Storage: Paper files in metal cabinets, tape/disc library.

Retrievability: By name and Social Security number of policyholders.

Safeguards: Access limited to authorized personnel.

Retention and disposal: Information partly current and partly historical; no procedures for removal of obsolete information.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individual; police reports (for verification of claims data); servicing companies (for verification of claims data).

HUD/FIA-2

System name: Flood Insurance Files

System location: Federal Insurance Administration, Central Office

Categories of individuals covered by the system: Builders; developers; real estate firms; contractors; appraisers; corporations or firms; individuals writing to the Department; individuals in the equal opportunity files; HUD personnel residents of flood-prone areas.

Categories of records in the system: Communities violating zoning laws; resident complaints against flood rulings; correspondence on agency fraud.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

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

Storage: File folders.

Retrievability: Name; case file number; subject; date; name of city.

Safeguards: Records are kept in lockable cabinets. Files are currently in the process of being put onto microfilm.

Retention and disposal: Files are partly current and partly historical; purged annually; in storage for one year. Forwarded to archives after two years.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Subject individuals; financial institutions; other individuals.

HUD/HM-1

System name: Housing Management Section 8 Management Information

System location: Central Office

Categories of individuals covered by the system: Tenants in Section 8 Program

Categories of records in the system: Tenant characteristics.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

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

Storage: Magnetic tape/disc/drum.

Retrievability: Name of tenant. Inquiry capability by HUD management. Output interface with HPMIS Section 8 MIS (occupancy characteristics).

Safeguards: Computer facilities are secured and accessible only by authorized personnel, and all files are stored in a secured area. Technical restraints are employed with regard to accessing the computer and data files.

Retention and disposal: Records system is active and kept up-to-date.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D. C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A. HQ The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D. C. 20410.

Record source categories: HUD Master Locality File System; HM Section 8 Transactions.

HUD/HPMC—1

System name: Housing Production and Mortgage Credit Monitoring System

System location: Central Office

Categories of individuals covered by the system: Single-family mortgagors.

Categories of records in the system: Cross-indexes (used to support studies and investigations).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

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

Storage: Magnetic tape/disc/drum.

Retrievability: Name; case file number.

Safeguards: Computer facilities are secured and accessible only by authorized personnel, and all files are stored in a secured area. Technical restraints are employed with regard to accessing the computer and data files.

Retention and disposal: Records system is active and kept up-to-date.

System manager(s) and address:

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D. C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D. C. 20410.

Record source categories: Subject individuals; current or previous employers; credit bureaus; financial institutions; corporations; firms; federal government agencies.

HUD/ILSRO—1

System name: Interstate Land Sales Registration

System location: Interstate Land Sales Registration Office, Central Office.

Categories of individuals covered by the system: Developers in interstate land sales.

Categories of records in the system: Information about the progress, status and accuracy of disclosure statements; Statistical records; budget estimates.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement. Other routine uses: to contractor—for keypunching.

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

Storage: Magnetic tape/disc/drum.

Retrievability: Name of developer.

Safeguards: Computer facilities are secured and accessible only by authorized personnel, and all files are stored in a secured area. Technical restraints are employed with regard to accessing the computer and data files.

Retention and disposal: Record system is active and kept up-to-date.

System manager(s) and address:**System manager(s) and address:**

Director
Office of Organization and Management Information
Department of Housing and Urban Development
451 Seventh Street, S.W.
Washington, D.C. 20410

Notification procedure: For inquiry about existence of records, contact the Privacy Officer at the appropriate location, in accordance with procedures in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Record access procedures: The Department's rules for providing access to records to the individual concerned appear in 24 CFR Part 16. If additional information or assistance is required, contact the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A.

Contesting record procedures: The Department's rules for contesting the contents of records and appealing initial denials, by the individual concerned, appear in 24 CFR Part 16. If additional information or assistance is needed, it may be obtained by contacting: (i) in relation to contesting contents of records, the Privacy Officer at the appropriate location. A list of all locations is given in Appendix A; (ii) in relation to appeals of initial denials, the HUD Departmental Privacy Officer, Office of Organization and Management Information, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410.

Record source categories: Developers' Data Transcription Sheets.

HUD/ILSRO—2

System name: Interstate Land Sales Registration Investigations

System location: Central Office

Categories of individuals covered by the system: Litigants; attorneys; developers; realtors; lot purchasers; lenders; contractors; appraisers; government officials; others involved in relation to investigations under the Interstate Land Sales Full Disclosure Act.

Categories of records in the system: Files developed during the course of an investigation to determine whether or not criminal or civil judicial proceedings should be recommended against an individual, corporation, or other entity for violations of the Interstate Land Sales Full Disclosure Act. Records contain evidence in the form of statements from lot purchasers, lenders, government officials, or agents, copies of subdivision plats, contracts, deeds, and other documents and photographs—all relevant to the alleged violations. Includes photographs and inspection reports from the field review staff or the investigation pertaining to the subdivision.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: See Routine Uses paragraphs in prefatory statement.

graphs in prefatory statement. Other routine uses: to the U.S. Postal Service THE Securities and Exchange Commission, and the Federal Trade Commission—for investigations; to various state attorneys general and regulatory agencies—for investigations involving the developer or subdivision.

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

Storage: Free text; plats or other maps; photographs.

Retrievability: By name of alleged violators or subdivision.

Safeguards: Files located in room used by investigating personnel. In their absence, room is locked and access by key is directed to certain designated personnel.

Retention and disposal: Files are partly current, partly historical.

System manager(s) and address:

Director

Office of Organization and Management Information

Department of Housing and Urban Development

451 Seventh Street, S.W.

Washington, D.C. 20410

Record source categories: Lot purchasers; lenders; federal and non-federal government agencies; subdivision plats; contracts; deeds; photographs.

Systems exempted from certain provisions of the act: Pursuant to 5 U.S.C. 552a(k) and k(5), all investigatory material in the record which meets the criteria of these sub-sections is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d),(e)(4)(G),(H), and (I) and (f)) of the agency regulations in order for the Department's legal staff to perform its functions properly.

[FR Doc.75-22609 Filed 8-27-75;8:45 am]

NATIONAL LABOR RELATIONS BOARD

[29 CFR Part 102]

PROTECTION OF PRIVACY OF RECORDS CONCERNING INDIVIDUALS

Proposed Rules

Pursuant to its authority under section 6 of the National Labor Relations Act, as amended (49 Stat. 452; 29 U.S.C. 156), and in accordance with the requirements of section (f) of the Privacy Act of 1974, 5 U.S.C. 552a(f), the National Labor Relations Board hereby gives notice of its intent to promulgate rules to establish procedures whereby an individual may (1) be informed of whether a system of records maintained by this Agency contains a record pertaining to that individual, (2) request access to such a record, and (3) request an amendment be made to such a record.

1. In § 102.117, paragraphs (e) through (k) are added to read as follows:

§ 102.117 Board materials and formal documents available for public inspection and copying; requests for identifiable records; files and records not subject to inspection; fees for copying and production.

(e) An individual may be informed whether a system of records maintained by this agency contains a record pertaining to such individual. An inquiry should be made in writing or in person during normal business hours to the official of this agency designated for that purpose and at the address set forth in a notice of a system of records published by this agency, or in a Notice of Systems of Government-wide Personnel Records published by the Civil Service Commission. The inquiry should contain sufficient information, as defined in the notice, to identify the record. Reasonable verification of identity of the inquirer, as described in paragraph (i) of this section, will be required to assure that information is disclosed to the proper person. The agency shall acknowledge the inquiry in writing within 10 days (excluding Saturdays, Sundays, and legal public holidays) and, wherever practicable, the acknowledgment shall supply the information requested. If, for good cause shown, the agency cannot supply the information within 10 days, the inquirer shall within that time period be notified in writing of the reasons therefor and when it is anticipated the information will be supplied. An acknowledgment will not be provided where the information is supplied within the 10-day period. If the agency refuses to inform an individual whether a system of records contains a record pertaining to an individual, the inquirer shall be notified in writing of that determination and the reasons therefor, and of the right to obtain review of that determination under the provisions of paragraph (j) of this section.

(f) An individual may be permitted access to records pertaining to such individual contained in any system of records described in the notices of systems of records published by this agency.

The request for access must be made in writing or in person during normal business hours, to the person designated for that purpose and at the address set forth in the published notice of systems of records. Reasonable verification of the identity of the requester, as described in paragraph (i) of this section, shall be required to assure that records are disclosed to the proper person. A request for access to records shall be acknowledged in writing by the agency within 10 days of receipt (excluding Saturdays, Sundays, and legal public holidays) and, wherever practicable, the acknowledgment shall inform the requester whether or not access will be granted and, if so, the time and location at which the records will be made available. If access to the record is to be granted, the record will normally be provided within 30 days (excluding Saturdays, Sundays, and legal public holidays) of the request, unless for good cause shown the agency is unable to do so, in which case the individual will be informed in writing within that 30-day period of the reasons therefor and when it is anticipated that access will be granted. An acknowledgment of a request will not be provided if the record is made available within the 10-day period. If an individual's request for access to a record under the provisions of this subsection is denied, the notice informing the individual of the denial shall set forth the reasons therefor and advise the individual of the right to obtain a review of that determination under the provisions of paragraph (j) of this section.

(g) An individual granted access to records pertaining to such individual contained in a system of records may review all such records. For that purpose the individual may be accompanied by a person of the individual's choosing, or the record may be released to the individual's representative who has the written consent of the individual, as described in paragraph (i) of this section. A first copy of any such record or information will ordinarily be provided without charge to the individual or representative in a form comprehensible to the individual. Fees for any other copies of records shall be assessed in accordance with the fee schedule set forth in paragraph (c) (2) (iv) (a) (3) of this section.

(h) An individual may request amendment of a record pertaining to such individual in a system of records maintained by this agency. A request for amendment of a record must be in writing and submitted during normal business hours to the person designated for that purpose and at the address set forth in the published notice for the system of records containing the record of which amendment is sought. The requester must provide verification of identity as described in paragraph (i) of this section, and the request should set forth the specific amendment requested and the reason for the requested amendment. The agency shall acknowledge in writing receipt of the request within 10 days of its receipt (excluding Saturday, Sundays, and legal public holidays) and, wherever practicable, the acknowledgement shall

advise the individual of the determination of the request. If the review of the request for amendment cannot be completed and a determination made within 10 days, the review shall be completed as soon as possible, normally within 30 days (Saturdays, Sundays, and legal public holidays excluded) of receipt of the request unless unusual circumstances preclude completing the review within that time, in which event the requester will be notified in writing within that 30-day period of the reasons for the delay and when the determination of the request may be expected. If the determination is to amend the record, the requester shall be so notified in writing and the record shall be amended in accordance with that determination. If any disclosures accountable under the provisions of 5 U.S.C. 552a(c) have been made, all previous recipients of the record which was amended shall be advised of the amendment and its substance. If it is determined that the request should not be granted, the requester shall be notified in writing of that determination and of the reasons therefor, and advised of the right to obtain review of the adverse determination under the provisions of paragraph (j) of this section.

(i) Verification of the identification of individuals required under paragraphs (e), (f), (g), and (h) of this section to assure that records are disclosed to the proper persons shall be required by the agency to an extent consistent with the nature, location, and sensitivity of the records being disclosed. Disclosure of a record to an individual in person will normally be made upon the presentation of acceptable identification. Disclosure of records by mail may be made upon the basis of the identifying information set forth in the request. Depending upon the nature, location, and sensitivity of the requested record, a signed notarized statement verifying identity may be required by the agency. Proof of authorization as representative to have access to a record of an individual shall be in writing, and a signed notarized statement of such authorization may be required by the agency if the record requested is of a sensitive nature.

(j) (1) Review may be obtained with respect to (i) a refusal, under paragraph (e) or (k) of this section, to inform an individual if a system of records contains a record concerning that individual, (ii) a refusal, under paragraph (f) or (g) of this section, to grant access to a record, or (iii) a refusal, under paragraph (h) of this section, to amend a record. The request for review should be made to the chairman of the Board if the system of records is maintained in the offices of a member of the Board, the office of the executive secretary, the office of the solicitor, the division of information, or the division of administrative law judges. Consonant with the provisions of section 3(d) of the National Labor Relations Act, as amended, and the delegation of authority from the Board to the general counsel, the request should be made to the general counsel if the system of records is maintained by any office of the agency other than those enumerated

above. Either the chairman of the Board or the general counsel may designate in writing another officer of the agency to review the refusal of the request. Such review shall be completed within 30 days (excluding Saturdays, Sundays, and legal public holidays) from the receipt of the request for review unless the chairman of the Board or the general counsel, as the case may be, for good cause shown, shall extend such 30-day period.

(2) If, upon review of a refusal under paragraph (e) or (k), the reviewing officer determines that the individual should be informed of whether a system of records contains a record pertaining to that individual, such information shall be promptly provided. If the reviewing officer determines that the information was properly denied, the individual shall be so informed in writing with a brief statement of the reasons therefor.

(3) If, upon review of a refusal under paragraph (f) or (k), the reviewing officer determines that access to a record should be granted, the requester shall be so notified and the record shall be promptly made available to the requester. If the reviewing officer determines that the request for access to records was properly denied, the individual shall be so informed in writing with a brief statement of the reasons therefor.

(4) If, upon review of a refusal under paragraph (h), the reviewing official grants a request to amend, the requester shall be so notified, the record shall be amended in accordance with the determination, and, if any disclosures accountable under the provisions of 5 U.S.C. 552a(c) have been made, all previous recipients of the record which was amended shall be advised of the amendment and its substance. If the reviewing officer determines that the denial of a request for amendment should be sustained, the agency shall advise the requester of the determination and the reasons therefor, and that the individual may file with the agency a concise statement of the reasons for disagreeing with the determi-

nation, and may seek judicial review of the agency's denial of the request to amend the record. In the event a statement of disagreement is filed, that statement (i) will be made available to anyone to whom the record is subsequently disclosed together with, at the discretion of the agency, a brief statement summarizing the agency's reasons for declining to amend the record, and (ii) will be supplied, together with any agency statements, to any prior recipients of the disputed record to the extent that an accounting of disclosures was made.

(k) To the extent that portions of systems of records described in notices of governmentwide systems of records published by the Civil Service Commission are identified by those notices as being subject to the management of an officer of this agency, or an officer of this agency is designated as the official to contact for information, access or contest of those records, individual requests for access to those records, requests for their amendment, and review of denials of requests for amendment shall be in accordance with the provisions of 5 CFR Part 297, subpart A, § 297.101 of this title, et seq., as promulgated by the Civil Service Commission. Review of a refusal to inform an individual whether such a system of records contains a record pertaining to that individual, and review of a refusal to grant an individual's request for access to a record in such a system may be obtained in accordance with the provisions of paragraph (j) of this section.

2. In § 102.118 the existing paragraph (a) is redesignated as (a) (1) and paragraph (a) (2) is added as follows:

§ 102.118 Board employees prohibited from producing files, records, etc., pursuant to subpoena ad testificandum or subpoena duces tecum; prohibited from testifying in regard thereto; production of witnesses' statements after direct testimony.

(2) No regional director, field examiner, administrative law judge, attorney,

specially designated agent, general counsel, member of the Board, or other officer or employee of the Board shall, by any means of communication to any person or to another agency, disclose personal information about an individual from a record in a system of records maintained by this agency, as more fully described in the notices of systems of records published by this agency in accordance with the provisions of section (e) (4) of the Privacy Act of 1974, 5 U.S.C. 552a(e) (4), or by the Notices of Governmentwide Systems of Personnel Records published by the Civil Service Commission in accordance with those statutory provisions, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains, unless disclosure of the record would be in accordance with the provisions of section (b) (1) through (11), both inclusive, of the Privacy Act of 1974, 5 U.S.C. 552a(b) (1) through (11).

All persons who desire to submit written comments, views, or arguments for consideration by the Board in connection with the proposed rules should file 10 copies of the same, on or before September 29, 1975, with the Executive Secretary, National Labor Relations Board, Washington, D.C. 20570. Copies of such communications will be available for examination by interested persons during normal business hours in the Office of the Executive Secretary of the Board, Room 701, 1717 Pennsylvania Avenue NW., Washington, D.C. 20570.

Dated, Washington, D.C., August 22, 1975.

By direction of the Board.

JOHN C. TRUESDALE,
Executive Secretary.

NATIONAL LABOR RELATIONS BOARD

NOTICES OF SYSTEMS OF RECORDS

Pursuant to the provisions of section (e) (4) of the Privacy Act of 1974, 5 U.S.C. Sec. 552a(e) (4), the National Labor Relations Board publishes the accompanying notices of systems of records maintained by it.

All persons who desire to submit written comment, views, or argument for consideration by the Board in connection with the descriptions of the routine uses for these systems of records should file 10 copies of the same, not later than 30 days after publication thereof in the Federal Register, with the Executive Secretary, National Labor Relations Board, Washington, D.C. 20570. Copies of such communications will be available for examination by interested persons during normal business hours in the Office of the Executive Secretary of the Board, Room 701, 1717 Pennsylvania Avenue N.W., Washington, D.C. 20570.

Dated, Washington D.C., August 22, 1975.

By direction of the Board.

JOHN C. TRUESDALE,
Executive Secretary.

TABLE OF CONTENTS

Accounting Records—Financial.
Applicant Files for Attorney and Field Examiner Positions, General Counsel's Staff.
Biographical Data File—Presidential Appointees.
Employment and Performance Appraisals, Attorneys and Field Examiners, General Counsel's Staff.
Evaluations and Promotion Appraisals of Field Clericals.
Federal Tort Claims Act—Claimants.
Grievances, Appeals, and Complaints Records.
Health Maintenance Program Records.
Occupational Injury and Illness Records.
Pay Records—Retirement.
Payroll—Data Processing File.
Payroll—Finance Records.
Performance Appraisals—Attorneys, Board Members' Staffs, Office of the Solicitor.
Profiling Communications.
Program Measurement System Report.
Promotion Appraisals Washington—Clericals and Nonlegal Professionals.
Time and Attendance Records.

NLRB FIELD OFFICES

Regional Director, National Labor Relations Board, Region 1, 7th Floor, Bulfinch Building, 15 New Chardon Street, Boston, Massachusetts 02114.
Regional Director, National Labor Relations Board, Region 2, 3614 Federal Building, 26 Federal Plaza, New York, New York 10007.
Regional Director, National Labor Relations Board, Region 3, 901 Federal Building, 111 West Huron Street, Buffalo, New York 14202.
Regional Director, National Labor Relations Board, Region 4, 4400 William J. Green Jr., Federal Building, 600 Arch Street, Philadelphia, Pennsylvania 19106.
Regional Director, National Labor Relations Board, Region 5, 1019 Federal Building, Charles Center, Baltimore, Maryland, 21201.
Regional Director, National Labor Relations Board, Region 6, 1536 Federal Building, 1000 Liberty Avenue, Pittsburgh, Pennsylvania 15222.

Regional Director, National Labor Relations Board, Region 7, 500 Book Building, 1249 Washington Boulevard, Detroit, Michigan 48226.
Regional Director, National Labor Relations Board, Region 8, 1695 Anthony J. Celebrezze Federal Building, 1240 East Ninth Street, Cleveland, Ohio 44199.
Regional Director, National Labor Relations Board, Region 9, 3003 Federal Office Building, 550 Main Street, Cincinnati, Ohio 45202.
Regional Director, National Labor Relations Board, Region 10, 701 Peachtree Building, 730 Peachtree Street NE., Atlanta, Georgia 30308.
Regional Director, National Labor Relations Board, Region 11, 1624 Wachovia Building, 301 North Main Street, Winston-Salem, North Carolina 27101.
Regional Director, National Labor Relations Board, Region 12, 706 Federal Office Building, 500 Zack Street, Tampa, Florida 33602.
Regional Director, National Labor Relations Board, Region 13, Everett McKinley Dirksen Building, 219 South Dearborn Street, Chicago, Illinois 60604.
Regional Director, National Labor Relations Board, Region 14, Room 448, 210 North 12th Boulevard, St. Louis, Missouri 63101.
Regional Director, National Labor Relations Board, Region 15, 2700 Plaza Tower, 1001 Howard Avenue, New Orleans, Louisiana 70113.
Regional Director, National Labor Relations Board, Region 16, 8A24 Federal Office Building, 819 Taylor Street, Fort Worth, Texas 76102.
Regional Director, National Labor Relations Board, Region 17, 616 Two Gateway Center, Fourth at State, Kansas City, Kansas 66101.
Regional Director, National Labor Relations Board, Region 18, 316 Federal Building, 110 South Fourth Street, Minneapolis, Minnesota 55401.
Regional Director, National Labor Relations Board, Region 19, 2948 Federal Building, 915 Second Avenue, Seattle, Washington 98101.
Regional Director, National Labor Relations Board, Region 20, 13018 Federal Building, Box 36047, 450 Golden Gate Avenue, San Francisco, California 94102.
Regional Director, National Labor Relations Board, Region 21, 600 Eastern Columbia Building, 849 South Broadway, Los Angeles, California 90014.
Regional Director, National Labor Relations Board, Region 22, 1600 Federal Building, 970 Broad Street, Newark, New Jersey 07102.
Regional Director, National Labor Relations Board, Region 23, 920-One Allen Center, 500 Dallas Avenue, Houston, Texas 77002.
Regional Director, National Labor Relations Board, Region 24, Seventh Floor, Pan Am Building, 255 Ponce de Leon Avenue, Hato Rey, Puerto Rico 00917.
Regional Director, National Labor Relations Board, Region 25, 232 Federal Office Building, 575 North Pennsylvania Street, Indianapolis, Indiana 46204.
Regional Director, National Labor Relations Board, Region 26, 746 Clifford Davis Federal Building, 167 North Main Street, Memphis, Tennessee 38103.
Regional Director, National Labor Relations Board, Region 27, 260 U.S. Custom House, 721 19th Street, Denver, Colorado 80202.
Regional Director, National Labor Relations Board, Region 28, The La Torre Building, 6107 North Seventh Street, Phoenix, Arizona 85014.
Regional Director, National Labor Relations Board, Region 29, Fourth Floor, 16 Court Street, Brooklyn, New York 11241.

Regional Director, National Labor Relations Board, Region 30, 230 Commerce Building, 744 North Fourth Street, Milwaukee, Wisconsin 53203.
Regional Director, National Labor Relations Board, Region 31, 12100 Federal Building, 11000 Wilshire Boulevard, Los Angeles, California 90024.
Officer-in-Charge, National Labor Relations Board, Subregion 36, 310 Six Ten Broadway Building, 610 S.W. Broadway, Portland, Oregon 97205.
Officer-in-Charge, National Labor Relations Board, Subregion 37, Suite 308, 1311 Kapiolani Boulevard, Honolulu, Hawaii 96814.
Officer-in-Charge, National Labor Relations Board, Subregion 38, 10th Floor, Savings Center Tower, 411 Hamilton Avenue, Peoria, Illinois 61602.
Resident Officer, National Labor Relations Board, Resident Office—Region 3, New Federal Building, Clinton Avenue at North Pearl Street, Albany, New York 12207.
Resident Officer, National Labor Relations Board, Resident Office, Region 5, Gelman Building, 2120 L Street NW., Washington, D.C. 20570.
Resident Officer, National Labor Relations Board, Resident Office—Region 10, 2102 City Federal Building, 2026 Second Avenue North, Birmingham, Alabama 35203.
Resident Officer, National Labor Relations Board, Resident Office—Region 12, Suite 410, 1570 Madruga Avenue, Coral Gables, Florida 33146.
Resident Officer, National Labor Relations Board, Resident Office—Region 12, 278 Federal Building, 400 West Bay Street, Box 35091, Jacksonville, Florida 32202.
Resident Officer, National Labor Relations Board, Resident Office—Region 16, 616 Petroleum Building, Fifth & Boulder Street, Tulsa, Oklahoma 74103.
Resident Officer, National Labor Relations Board, Resident Office—Region 19, Hill Building, Room 409, 632 West Sixth Avenue, Anchorage, Alaska 99501.
Resident Officer, National Labor Relations Board, Resident Office—Region 23, Federal Building, Room A509, 727 East Durango Boulevard, San Antonio, Texas 78206.
Resident Officer, National Labor Relations Board, Resident Office—Region 26, 3511 Federal Building, 700 West Capitol Avenue, Little Rock, Arkansas 72201.
Resident Officer, National Labor Relations Board, Resident Office—Region 26, Room A-702, Federal Building, U.S. Courthouse, Nashville, Tennessee 37203.
Resident Officer, National Labor Relations Board, Resident Office—Region 28, 1025 The Mills Building, 303 North Oregon, El Paso, Texas 79901.
Resident Officer, National Labor Relations Board, Resident Office—Region 28, Patio Plaza Building, Upper Level, 5000 Marble Avenue NE., Albuquerque, New Mexico 87110.
Resident Officer, National Labor Relations Board, Resident Office—Region 31, Room 4-503, 300 Las Vegas Boulevard South, Las Vegas, Nevada 89101.

APPENDIX

Names and Addresses of NLRB Offices referenced in Notices of Record Systems shown above:

NLRB HEADQUARTERS OFFICES

Offices of the Board:
Members of the Board
Solicitor
Director, Division of Information
Executive Secretary, Office of the Executive Secretary

PROPOSED RULES

Office of the General Counsel:

General Counsel

Associate General Counsel, Division of Operations Management

Associate General Counsel, Division of Advice

Associate General Counsel, Division of Enforcement Litigation

Director, Office of Appeals

Director, Division of Administration

Director, Equal Employment Opportunity

Address: 1717 Pennsylvania Avenue NW., Washington, D.C. 20570.

Chief Administrative Law Judge, Division of Administrative Law Judges.

Address: 1231 25th Street NW., Washington, D.C. 20037.

West Coast Presiding Judge (San Francisco office), Division of Administrative Law Judges.

Address: Suite 12054, Federal Building, 450 Golden Gate Avenue, Box 38006, San Francisco, California 94102.

System name: Accounting Records - Financial, NLRB.

System location: Current records are maintained in: Financial Management Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Each Washington and Field Office is authorized to maintain copies of records relating to reimbursements to employees of that office and other individuals covered within system. See the attached appendix for addresses of these offices. Inactive records are stored at the appropriate Federal records center in accordance with Federal Property Management Regulations of the U.S. General Services Administration (FPMR 101-11.4).

Categories of individuals covered by the system: Individuals reimbursed for expenses in connection with the official functions of the NLRB; i.e., travel on official business, witness fees and transportation expenses, and miscellaneous expenses.

Categories of records in the system: Contains name; home or office address; organizational unit number; purpose, duration, and cost for travel assignments of Agency employees; purpose, duration, points of travel, and cost for witnesses used by the Agency; purpose, category, and cost of miscellaneous expenses incurred by Agency employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records, or information therefrom, are disclosed:

1. To Agency officials and employees who have a need for the records or information:
 - a. In the processing of claims for reimbursements.
 - b. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies.
2. To respond to general requests for statistical information (without personal identification of individuals).
3. To process a grievance appeal or complaint.
4. To U.S. General Accounting Office for audit purposes or determination of validity of claims.
5. To the U.S. Department of Treasury for issuance of checks.
6. To the appropriate agency, whether Federal, state, or local, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, charged with the responsibility of investigating or prosecuting such violation or enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.
7. To another agency, whether Federal, state, or local, or private organization where reimbursable arrangements exist between this Agency and such other agency or private organization.

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

Storage: Maintained on original source documents except travel summary cards which are maintained on microfilm.

Retrievability: Chronologically by year, and within each year alphabetically by name.

Safeguards: Original source documents are maintained in file cabinets within the Finance Section office. Microfilm is maintained in a locked fireproof cabinet within the Services and Systems office. During duty hours cabinets are under surveillance of personnel charged with custody of the records, and after duty hours are behind locked doors. Access is limited to personnel who have a need for access in order to perform their official functions.

Retention and disposal: Maintained and disposed of in accordance with U.S. General Accounting Office and U.S. General Service Administration retention regulations.

System manager(s) and address: Finance Officer, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

See the attached appendix for the titles and addresses of officials at other locations responsible for this system at their locations.

Notification procedure:

1. Current NLRB employees inquiring whether this system contains records on them should direct such inquiries to their supervisors.
2. An individual other than a current NLRB employee inquiring whether this system contains a record on such individual should direct such inquiry to the System Manager specified above, or to the responsible official designated under 'System Manager' as

responsible for the system in the geographic area where the expense was incurred.

3. In determining whether this system contains records on the inquirer, the following information is required: the inquirer's name and the year about which inquiry is being made.

Record access procedures:

1. An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the appropriate official or office designated under 'Notification.'

2. In granting access to records in this system, the following information is required: the inquirer's name and the year about which inquiry is being made.

Record source categories: Travel vouchers, witness vouchers, and lodging and miscellaneous receipts submitted by the individual; travel orders submitted by Agency officials; subpoenas; claims for reimbursement; and miscellaneous correspondence and information related thereto. 2

System name: Applicant Files for Attorney and Field Examiner Positions, General Counsel's Staff, NLRB.

System location: Office of Executive Assistant to General Counsel, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Washington and Field Offices are authorized to maintain the records or copies of the records in connection with processing of applications for employment in the Agency. See the attached appendix for addresses of the Field Offices.

Categories of individuals covered by the system: Applicants for attorney or Field Examiner positions in offices under the general supervision of the General Counsel.

Categories of records in the system: Contains copies of employment application, educational transcripts, resumes, employment interview reports, and other information relative to employment.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records or information therefrom are disclosed:

1. To Agency officials and employees who have a need for the records or information:
 - a. To process applications and evaluate applicants.
 - b. As a data source for management information for production of summary statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies.
2. To respond to general requests for statistical information (without personal identification of individuals).
3. To process a grievance, appeal, or complaint.

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

Storage: Maintained on paper including forms, letters, and memoranda.

Retrievability: Alphabetically by name.

Safeguards: Maintained in file cabinets. During duty hours cabinets are under surveillance of personnel charged with custody of the records and after duty hours are behind locked doors. Access to the cabinets is limited to personnel having a need for access to perform their official functions.

Retention and disposal: Retained for an indefinite period of time.

System manager(s) and address: Executive Assistant to the General Counsel; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure: An individual inquiring whether this system contains a record on such individual should direct such inquiry to the System Manager specified above.

Record access procedures: An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the System Manager specified above.

Record source categories: Applicants, educational institutions, interviewers, evaluators, references, previous employers. 3

System name: Biographical Data File - Presidential Appointees, NLRB.

System location: Division of Information, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Categories of individuals covered by the system: Presidential appointees to the Agency, past and present.

Categories of records in the system: Contains biographical sketches; news releases; news articles on speeches and other newsmaking activities; photographs, and material incidental thereto.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records, or information therefrom, are disclosed to Agency officials and employees who have a need for the records or information in the performance of their duties, and to the public upon demonstrated interest.

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

Storage: Maintained on original sources or related papers in file folders.

Retrievability: Alphabetically by name.

Safeguards: Maintained in file cabinets within the Division of Information offices. During duty hours, cabinets are under the surveillance of office personnel charged with custody of the records, and after duty hours are behind locked doors.

Retention and disposal: Permanently retained.

System manager(s) and address: Director, Division of Information, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure: An individual inquiring whether this system contains a record on such individual should direct such inquiry to the System Manager specified above.

Record access procedures: An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the System Manager specified above.

Record source categories: Information in this system is submitted by the individual, written by Agency staff and approved by the individual, and obtained from general news sources. 4

System name: Employment and Performance Appraisals, Attorneys and Field Examiners, General Counsel's Staff, NLRB.

System location: Office of Executive Assistant to General Counsel, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Each Washington and Field Office is authorized to maintain copies of these records for current and former NLRB employees of that office. See the attached appendix for addresses of the Field Offices.

Categories of individuals covered by the system: Current and former attorneys and Field Examiners in offices under the general supervision of the General Counsel.

Categories of records in the system: Contains copies of employment applications, educational transcripts, resumes, employment interview reports, evaluation reports, career development appraisals, recommendations concerning promotion, correspondence, memoranda, and other information relevant thereto.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records or information therefrom are disclosed to Agency officials and employees who have a need for the records or information, and to others in the adjudication of an appeal, complaint, or grievance.

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

Storage: Maintained on paper including forms, letters, and memoranda.

Retrievability: Alphabetically by name.

Safeguards: Maintained in file cabinets. During duty hours cabinets are under the surveillance of personnel charged with custody of the records, and after duty hours are behind locked doors. Access is limited to personnel having a need for access to perform their official functions.

Retention and disposal: Retained for an indefinite period of time.

System manager(s) and address: Executive Assistant to the General Counsel; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

See the attached appendix for titles and addresses of officials at other locations responsible for this system at their locations.

Notification procedure:

1. Current NLRB employees inquiring whether this system contains records on such individuals should direct such inquiries to their supervisors.

2. An individual other than a current NLRB employee inquiring whether this system contains a record on such individual should

direct such inquiry to the System Manager specified above, or to the responsible official designated under 'System Manager' as responsible for the system in the office where the individual was formerly employed.

Record access procedures: An individual seeking access to, or to contest, records in this system pertaining to such individual should contact the appropriate official or office designated under 'Notification.'

Record source categories: The individual, educational institutions, interviewers, evaluators, references, previous employers, and supervisors. 5

System name: Evaluations and Promotion Appraisals of Field Clericals, NLRB.

System location: Records are authorized to be maintained in all Regional, Subregional, and Resident Offices of the Agency at the addresses listed in the attached appendix.

Categories of individuals covered by the system: Current and former field clerical employees.

Categories of records in the system: These records consist of evaluations, memoranda, promotion appraisals, employee responses thereto, and other information relevant to the above.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records or information therefrom are disclosed to Agency officials and employees who have a need for the records or information:

1. To evaluate job performance, developmental needs, potential within the Agency, and readiness for promotion.
2. To process an appeal, complaint, or grievance.

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

Storage: Maintained on paper including forms, letters, and memoranda.

Retrievability: Alphabetically by name.

Safeguards: Maintained in file cabinets in Field Offices. During duty hours under surveillance of personnel charged with custody of the records, and after duty hours are behind locked doors. Access to the cabinets is limited to personnel having a need for access to perform their official functions.

Retention and disposal: Retained and disposed of in accordance with Federal Personnel Manual instructions.

System manager(s) and address: See the attached appendix for the titles and addresses of officials responsible for this system at their locations.

Notification procedure: An individual inquiring whether this system contains a record on such individual should direct such inquiry to the 'System Manager' of the office where employed.

Record access procedures: An individual seeking access to, or to contest, records in this system pertaining to such individual should contact the appropriate official or office designated under 'Notification.'

Record source categories: Professional employees, office managers, and individual to whom the record pertains. 6

System name: Federal Tort Claims Act - Claimants, NLRB.

System location: Security and Safety Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Categories of individuals covered by the system: Individuals filing claims under the Federal Tort Claims Act.

Categories of records in the system: Contains reports of accidents or other events causing damage or loss; statements of witnesses; claims for damage or loss; investigations of claims, including doctors' reports, if any; records on disposition of claims; and information relative to the above.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records, or information therefrom, are disclosed:

1. To Agency officials and employees who have a need for the records or information:
 - a. In processing claims against this Agency arising under the Federal Tort Claims Act.
 - b. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies.

2. To respond to general requests for statistical information (without personal identification of individuals).
3. To the U.S. Department of Justice for purpose of processing or adjudicating claims against the Agency arising under the Federal Tort Claims Act.
4. To a court of competent jurisdiction for adjudicating claims arising under the Federal Tort Claims Act.
5. To investigators utilized by the Agency to obtain information relevant to a claim against the Agency arising under the Federal Tort Claims Act.
6. To the appropriate agency, whether Federal, state, or local, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, charged with the responsibility of investigating or prosecuting such violation or enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.

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

Storage: Maintained on forms, documents, and other papers.

Retrievability: Alphabetically by name.

Safeguards: Maintained in file safe within the office of the Security and Safety Branch. File safe remains locked except during access to records. During duty hours, file safe is under the surveillance of personnel charged with the custody of the records, and after duty hours is behind locked doors. Combination is known only to designated members of Security and Safety staff. Access is limited to personnel who have a need for access to perform their official functions.

Retention and disposal: retained indefinitely.

System manager(s) and address: Chief, Security and Safety Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure: An individual inquiring whether this system contains records on such individual should direct such inquiries to the System Manager specified above.

Record access procedures: An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the System Manager specified above.

Record source categories: Claimants, investigators, and witnesses.

System name: Grievances, Appeals, and Complaints Records, NLRB.

System location: Each Washington and Field Office is authorized to maintain copies of records in this system. See the attached appendix for addresses of Washington and Field Offices.

Categories of individuals covered by the system: Current and former NLRB employees.

Categories of records in the system: These records consist of formal or informal grievances, appeals, and complaints, together with information and documents related thereto; letters or notices to the individual; record of hearings when conducted, materials, placed in the file to support or contradict the decision or determination on such grievance, appeal, or complaint; affidavits or statements; testimonies of witnesses; investigative reports; and related correspondence and recommendations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records or information therefrom are disclosed:

1. To Agency officials and employees who have a need for the records or information:
 - a. To adjudicate an appeal, complaint, or grievance.
 - b. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies.
2. To respond to general requests for statistical information (without personal identification of individuals).
3. To refer, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, to the appropriate agency, whether Federal, state, or local, charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.
4. To respond to a request from a Member of Congress regarding the status of an appeal, complaint, or grievance.

5. To respond to a subpoena and/or refer to an arbitrator or court of competent jurisdiction.

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

Storage: Maintained on forms, documents, letters, memoranda, and other similar papers.

Retrievability: Alphabetically by name.

Safeguards: Access to and use of these records are limited to those persons whose official duties require such access until the records are required to be made public in support of an agency action or position. These records are maintained in file cabinets which during duty hours are under the surveillance of personnel charged with custody of the records and after duty hours are behind locked doors.

Retention and disposal: Maintained for an indefinite period of time.

System manager(s) and address:

1. To those employees under supervision of the General Counsel - General Counsel, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

2. To those employees under supervision of the Board - Solicitor, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure:

1. Inquiries from current NLRB employees on whether this system contains records on such individuals should direct such inquiry to their supervisors.

2. Inquiries from individuals other than current NLRB employees as to whether this system contains records on such individuals should direct such inquiries to the System Manager specified above.

Record access procedures:

1. A current NLRB employee seeking to gain access to, or to contest, records in this system pertaining to such employee should contact his or her supervisor.

2. An individual other than a current NLRB employee seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the System Manager specified above.

Record source categories: Information in this system is obtained from the individual to whom the record pertains; Agency officials; affidavits, statements, and record testimony of individuals; and other documents and memoranda relating to the appeal, grievance, or complaint. 8

System name: Health Maintenance Program Records, NLRB.

System location: Security and Safety Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Categories of individuals covered by the system: Current and former NLRB employees participating in Agency sponsored health maintenance programs, such as blood donor program, diabetes tests, glaucoma tests, and similar programs.

Categories of records in the system: Contains individuals' names and dates of participation in health maintenance programs, and the name of program in which participated. Also, for blood donor program, contains social security number, donor identification number, home address and telephone, sex, date of last donation, medications being taken, blood type, whether accepted or rejected as donor, and information relevant to the above.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records, or information therefrom, are disclosed:

1. To Agency officials and employees who have a need for the records or information:
 - a. In the administration of voluntary health maintenance programs.
 - b. As a data source for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained (without personal identification of individuals).
2. To respond to general requests for statistical information (without personal identification of individuals).
3. To the International Red Cross insofar as the records or information pertain to the blood donor program.
4. To the U.S. Department of Health, Education and Welfare insofar as the records or information pertain to public health service programs administered by that Department.

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

Storage: Maintained on logs, forms, and other papers.

Retrievability: By program name and within each program alphabetically by name.

Safeguards: Maintained in file safe within the office of the Security and Safety Branch. File safe remains locked except during access to records. During duty hours, file safe is under the surveillance of personnel charged with the custody of the records, and after duty hours is behind locked doors. Combination is known only to designated members of Security and Safety staff. Access is limited to personnel who have a need for access to perform their official functions.

Retention and disposal: Retained indefinitely.

System manager(s) and address: Chief, Security and Safety Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure:

1. An individual inquiring whether this system contains records on such individual should direct such inquiries to the System Manager specified above.

2. In determining whether this system contains records on the inquirer, the following information is required: the inquirer's name and the particular health maintenance program about which inquiry is being made.

Record access procedures:

1. An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the System Manager specified above.

2. In granting access to records in this system, the following information is required: the inquirer's name and the particular health maintenance program about which inquiry is being made.

Record source categories: Information submitted by individual; officials of the servicing Health Units; International Red Cross. 9

System name: Occupational Injury and Illness Records, NLRB.

System location: Security and Safety Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Each Washington and Field Office is authorized to maintain copies of records in this system. See the attached appendix for addresses of Field Offices.

Categories of individuals covered by the system: Current and former NLRB employees who have reported a work-related injury or illness.

Categories of records in the system: Contains records pertaining to the complete history of the employee's occupational injury or illness, including pay doctors' or investigative reports submitted, and the disposition of claims for compensation filed under the Federal Employees Compensation Act and information relative thereto.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records, or information therefrom, are disclosed:

1. To Agency officials and employees who have a need for the records or information:

a. In processing reports of occupational injury or illness and claims for compensation under the Federal Employees Compensation Act.

b. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies.

2. To respond to general requests for statistical information (without personal identification of individuals).

3. To the U.S. Department of Labor for purposes of adjudicating claims for compensation under the Federal Employees Compensation Act.

4. To the U.S. Department of Health, Education and Welfare in the administration of public health services programs.

5. To a court of competent jurisdiction for adjudicating claims arising under the Federal Employees Compensation Act.

6. To an investigator utilized by the Agency to obtain information relevant to a claim arising under the Federal Employees Compensation Act.

7. To the appropriate agency, whether Federal, state, or local, where there is an indication of a violation or potential

violation of law, whether civil, criminal, or regulatory in nature, charged with the responsibility of investigating or prosecuting such violation or enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.

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

Storage: Maintained on forms and related correspondence.

Retrievability: Alphabetically by name.

Safeguards: Maintained in a file safe within the Security and Safety Office. File safe remains locked except during access. During duty hours file safe is under the surveillance of personnel charged with the custody of the records, and after duty hours is behind locked doors. Combination is known only to designated members of Security and Safety staff. Access is limited to personnel who have a need for access to perform their official functions.

Retention and disposal: Retained indefinitely.

System manager(s) and address: Chief, Security and Safety Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

See the attached appendix for the titles and addresses of officials at other locations responsible for this system at their locations.

Notification procedure: An individual inquiring whether this system contains a record on such individual should direct such inquiry to the System Manager specified above.

Record access procedures: An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the System Manager specified above.

Record source categories: Forms completed by the employee; witnesses; investigators; employee's supervisor; claims examiners of the U.S. Department of Labor; and doctors' statements, if any. 10

System name: Pay Records - Retirement, NLRB.

System location: Financial Management Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Categories of individuals covered by the system: Current NLRB employees under the Civil Service Retirement System.

Categories of records in the system: Contains name; previous name if any; social security number; sex; birth date; entrance-on-duty date; employment history, including prolonged leave without pay; and monetary contributions to retirement fund made during employment, and information relevant thereto.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records, or information therefrom, are disclosed:

1. To Agency officials and employees who have a need for the records or information:

a. To administer the Civil Service Retirement System within the Agency.

b. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies.

2. To respond to general requests for statistical information (without personal identification of individuals).

3. To the U.S. Civil Service Commission for administering the Civil Service Retirement System.

4. To the U.S. General Accounting Office for audit purposes.

5. To the appropriate agency, whether Federal, state, or local, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, charged with the responsibility of investigating or prosecuting such violation or enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.

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

Storage: Maintained on employment history cards and source documents.

Retrievability: By organizational unit and within each unit alphabetically by name.

Safeguards: Maintained in file cabinets within the Payroll and Reports Section office. During duty hours file cabinets are under surveillance of personnel charged with custody of the records, and after duty hours are behind locked doors. Access is limited to personnel who have a need for access to perform their official functions.

Retention and disposal: Maintained only on current employees.. Transferred to the U.S. Civil Service Commission upon termination of service with the Agency.

System manager(s) and address: Finance Officer, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure:

1. An individual inquiring whether this system contains a record on such individual should direct such inquiries to the System Manager designated above.

2. In determining whether this system contains records on the inquirer, the following information is required: the inquirer's name and the organizational unit in which currently employed.

Record access procedures:

1. An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the System Manager, specified above.

2. In granting access to records in this system, the following information is required: the inquirer's name and the year about which inquiry is being made.

Record source categories: Personnel Office, timekeepers, and supervisors. 11

System name: Payroll-Data Processing File, NLRB.

System location: Data Systems Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Categories of individuals covered by the system: Current and former employees of the Agency.

Categories of records in the system: Contains the name; home address; payroll identification number; organizational unit number; pay grade and step; annual salary; for the current pay period, hours worked, base pay, overtime pay, premium pay, and miscellaneous pay; and for the current pay period and year to date, gross earnings, net earnings, and all withholdings from pay including retirement, taxes (Federal, state, and local), FICA, and miscellaneous allotments and deductions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records, or information therefrom, are disclosed:

1. To Agency officials and employees who have a need for the records or information:
 - a. In providing data conversion services for the Agency.
 - b. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained, or for related personnel management functions or manpower studies.
2. To respond to general requests for statistical information (without personal identification of individuals).
3. To the U.S. Department of Treasury for preparation and issuance of payroll checks.

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

Storage: Maintained on punched data processing cards.

Retrievability: By employee payroll identification number in conjunction with organizational unit number or by social security number.

Safeguards: Maintained in card file containers within the office of the Operations Unit, Data Processing Section. During duty hours containers are under surveillance of office personnel charged with custody of the records, and after duty hours are behind locked doors. Access is limited to personnel who have a need for access to perform their official functions. Use of machine for information printouts from cards is restricted to designated personnel.

Retention and disposal: Retained and disposed of in accordance with Federal Property Management Regulations of U.S. General Services Administration (FPMR 101-11.4).

System manager(s) and address: Chief, Data Systems Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure: An individual inquiring whether this system contains a record on such individual should direct such inquiry to the Finance Officer, 1717 Pennsylvania Avenue, N.W., Washington, D.C. 20570.

Record access procedures: An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the Finance Officer, 1717 Pennsylvania Avenue, N.W., Washington, D.C. 20570.

Record source categories: Forms submitted by Financial Management Branch, NLRB. 12

System name: Payroll - Finance Records, NLRB.

System location: Current records are maintained in: Financial Management Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Inactive records are stored at the appropriate Federal records center in accordance with Federal Property Management Regulations of the U.S. General Services Administration (FPMR 101-11.4).

Categories of individuals covered by the system: Current and former employees of the Agency.

Categories of records in the system: Contains name; home address; payroll identification number; organizational unit number; pay grade and step; annual salary; for the current pay period, hours worked, base pay, overtime pay, premium pay, and miscellaneous pay; and for the current pay period and year to date, gross earnings, net earnings, and all withholdings from pay including retirement, taxes (Federal, state, and local), FICA, and miscellaneous allotments and deductions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records, or information therefrom, are disclosed:

1. To Agency officials and employees who have a need for the records or information:
 - a. To compile payroll records.
 - b. To maintain Agency salary and expense accounts.
 - c. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies.
 - d. To transfer information from the records to the individual to whom the record pertains.
2. To respond to general requests for statistical information (without personal identification of individuals).
3. To process a grievance, appeal, or complaint.
4. To the U.S. Department of the Treasury for payroll purposes.
5. To the U.S. Civil Service Commission for administering pay, leave, and retirement programs for Federal Government employees.
6. To state and local authorities for the purposes of verifying tax collections, unemployment compensation claims, and administering public assistance programs.
7. To the U.S. Department of Health, Education and Welfare for the administration of the social security program.
8. To the U.S. Department of Labor for processing or adjudicating claims under the Federal Employees Corporation Act.
9. To the U.S. General Accounting Office for audit purposes.
10. To the appropriate agency, whether Federal, state, or local, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, charged with the responsibility of investigating or prosecuting such violation or enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.

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

Storage: Maintained on original source documents except: employee earning ledgers maintained on magnetic strip cards and microfilm; employee net pay data maintained on punched cards.

Retrievability: Employee payroll file maintained chronologically by year and within each year alphabetically by name. All other payroll records maintained chronologically by year, and within each year by organizational unit, and within each unit alphabetically by name.

Safeguards: Maintained in file cabinets, except microfilm is maintained in a locked fireproof metal cabinet. During duty hours cabinets are under surveillance of personnel charged with custody of the records, and after duty hours are behind locked doors. Access is limited to personnel having a need for access to perform their official functions.

Retention and disposal: Payroll records retained and disposed of in accordance with the applicable General Accounting Office and General Services Administration retention schedules. Microfilm and magnetic strip ledgers are maintained for 56 years after the last entry of data.

System manager(s) and address: Finance Officer, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure:

1. An individual inquiring whether this system contains a record on such individual should direct such inquiry to the System Manager specified above.

2. In determining whether this system contains records on the inquirer, the following information is required: the inquirer's name; the year about which inquiry is being made; and, for records other than the payroll file, the organizational unit or units in which employed during that year.

Record access procedures:

1. An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the System Manager specified above.

2. In granting access to records in this system, the following information is required: the inquirer's name; the year about which inquiry is being made; and, for records other than the payroll file, the organizational unit or units in which employed during that year.

Record source categories: Documents submitted by the individual, the personnel office, timekeepers, and supervisors; U.S. Civil Service Commission bulletins; taxing authority notices; and withholding authorizations. 13

System name: Performance Appraisals - Attorneys, Board Members' Staffs, Office of Solicitor, NLRB.

System location: Office of Executive Secretary, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Categories of individuals covered by the system: Currently employed attorneys on Board Members' staffs or in the Office of the Solicitor.

Categories of records in the system: Contains forms completed by supervisors evaluating performance of subordinates, including narrative comments and recommendations on promotions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records or information therefrom are disclosed to Agency officials and employees who have a need for the records or information in the performance of their duties, and to others in the adjudication of an appeal, complaint, or grievance.

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

Storage: On performance appraisal forms.

Retrievability: Alphabetically by name.

Safeguards: Maintained in file cabinets in the Office of the Executive Secretary. During duty hours cabinets are under surveillance of personnel charged with custody of the records and after duty hours are behind locked doors. Access is limited to personnel having a need for access to perform their official functions.

Retention and disposal: Retained only while individual is employed on a Board Member's staff or in the Office of the Solicitor.

System manager(s) and address: Deputy Executive Secretary, NLRB, 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure: An individual inquiring whether this system contains a record on such individual should direct such inquiry to the "System Manager" specified above.

Record access procedures: An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the "System Manager" specified above.

Record source categories: Supervisors. 14

System name: Prefiling Communications, NLRB.

System location: Records are authorized to be maintained in all Field Offices of the Agency, at the addresses listed in the attached appendix, and Office of the General Counsel at 1717 Pennsylvania Avenue, N.W., Washington, D.C. 20570.

Categories of individuals covered by the system: Persons who have sought assistance regarding possible institution of an unfair labor practice, representation, or other civil action or proceeding before the National Labor Relations Board.

Categories of records in the system: These records, consisting of file memoranda detailing the substance of oral communications, letters of inquiry, and responses thereto, may contain information relating to an individual's employment history, job performance, earnings, home address, telephone number, union activity, or other information relevant to a potential action or proceeding before the National Labor Relations Board.

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

1. These records or information therefrom are disclosed to Agency officials and employees who have a need for the records or information in the processing of cases before the Agency.

2. These records or information therefrom may be referred, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, to the appropriate agency, whether Federal, state, or local, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.

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

Storage: Maintained in paper form in file folders.

Retrievability: Alphabetically by name.

Safeguards: Maintained in file cabinets in the nonpublic area of the office under the immediate control of the System Manager. During duty hours cabinets are under surveillance of personnel charged with custody of the records and after duty hours are behind locked doors.

Retention and disposal: In the event a civil action or proceeding is instituted prior to the record being destroyed, the record is placed in the case file which is not indexed by the name of the individual. In the event no action or proceeding is instituted, the records are destroyed after varying periods of time; however, not longer than 2 years.

System manager(s) and address: General Counsel, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

See the attached appendix for titles and addresses of officials responsible for this system at their locations.

Notification procedure: An individual inquiring whether this system contains a record on such individual should direct such inquiry to the appropriate Regional Director, Officer-in-Charge, or Resident Officer of the Agency office where the individual sought or was referred to for assistance, at the address of that office specified in the attached appendix.

Record access procedures: An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the appropriate official or office designated under "Notification."

Record source categories: Individual who seeks assistance. 15

System name: Program Measurement System Report, NLRB.

System location: Management and Audit Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Categories of individuals covered by the system: All current employees, supervisors, and branch managers in the Agency's Division of Administration.

Categories of records in the system: Program output information on administrative support programs under the jurisdiction of the Agency's Division of Administration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records or information therefrom are disclosed:

1. To Agency officials and employees who have a need for the records or information:

a. In measuring administrative program outputs, and validating such measurement.

b. As a basis for taking personnel actions within the Division.

c. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained, or for related personnel management functions or manpower studies.

2. To respond to general requests for statistical information (without personal identification of individuals).

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

Storage: Maintained on forms in file folders.

Retrievability: By organization unit.

Safeguards: Maintained in file cabinets. During duty hours cabinets are under the surveillance of personnel charged with the custody of such records, and after duty hours are behind locked doors. Access is limited to personnel who have a need for access to perform their official functions.

Retention and disposal: Forms submitted by individuals are retained for 1 year. Information in summary form not individually identifiable are retained indefinitely.

System manager(s) and address: Special Assistant to Director of Administration, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure: An individual inquiring whether this system contains a record on such individual should contact the 'System Manager' specified above.

Record access procedures: An individual seeking to gain access, or to contest, records in this system pertaining to such individual should contact the 'System Manager' specified above.

Record source categories: Individual to whom the record pertains. 16

System name: Promotion Appraisals Washington - Clericals and Nonlegal Professionals, NLRB.

System location: Personnel Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Categories of individuals covered by the system: Applicants for postings for nonlegal professional positions, clerical positions in Washington, and for field positions posted and/or evaluated in Washington, who meet the minimum standards for eligibility for the posted position.

Categories of records in the system: Contains appraisals, including narrative comments, on applicants' promotion potential for the posted positions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records or information therefrom are disclosed to Agency officials and employees who have a need for the records or information:

1. To evaluate and select applicants for posted positions.

System name: 2. To process an appeal, complaint, or grievance.

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

Storage: On promotion appraisal forms, letters, or memoranda.

Retrievability: Alphabetically by name.

Safeguards: Maintained in file cabinet in Personnel Branch. During duty hours cabinets are under surveillance of personnel charged with custody of the records, and after duty hours are behind locked doors. Access is limited to personnel having a need for access to perform their official functions.

Retention and disposal: Retained and disposed of in accordance with Federal Personnel Manual instructions.

System manager(s) and address: Chief, Operations Section; Personnel Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Notification procedure: An individual inquiring whether this system contains a record on such individual should direct such inquiry to the System Manager specified above.

Record access procedures: An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact System Manager specified above.

Record source categories: Supervisors. 17

System name: Time and Attendance Records, NLRB.

System location: Current records are maintained in: Financial Management Branch, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

Each Washington and Field Office maintains a copy of time and attendance records for current employees in that office, and is authorized to retain such records on former employees of that office. See the attached appendix for addresses of these offices.

Inactive records are stored at the appropriate Federal records center in accordance with Federal Property Management Regulations at the U.S. General Services Administration (FPMR 101-11.4).

Categories of individuals covered by the system: Current and former employees of the Agency.

Categories of records in the system: Contains name; home address; organizational unit number; payroll identification number; entrance-on-duty date; time worked, including regular hours, overtime, compensatory time, and premium pay status; leave earned and used; absences without leave; and doctors' certificates, when required.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records or information therefrom are disclosed.

1. To Agency officials and employees who have a need for the records or information:

- a. In the compilation of biweekly payrolls.
- b. To maintain leave accounts.
- c. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies.

2. To respond to general requests for statistical information (without personal identification of individuals).

3. To another Federal Government agency in connection with the transfer of an NLRB employee to that agency.

4. To the U.S. Civil Service Commission for administering the Civil Service Retirement System.

5. To the U.S. General Accounting Office for audit purposes.

6. To another Government agency or private organization in connection with an agreement under the Intergovernmental Personnel Act.

7. To the U.S. Department of Labor for processing or adjudicating claims under the Federal Employees Compensation Act.

8. To the appropriate agency, whether Federal, state, or local, where there is an indication of a violation or potential violation of law, whether civil, criminal, or regulatory in nature, charged with the responsibility of investigating or prosecuting such violation or enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.

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

Storage: Maintained on Standard Form 1130 and related forms and papers, and on microfilm.

Retrievability: Chronologically by year, and within each year by organizational unit, and within each unit alphabetically by name.

Safeguards: Original source documents or copies thereof are maintained in file cabinets. Microfilm is maintained in locked fireproof metal cabinet. During duty hours cabinets are under surveillance of personnel charged with custody of the records, and after duty hours are behind locked doors. Access is limited to personnel having a need for access to perform their official functions.

Retention and disposal: Retained and disposed of in accordance with General Accounting Office and General Services Administration retention schedules. Original source documents are retained within the Agency for 3 years and then transferred to the appropriate Federal record center for the balance of the retention period. Microfilm records are maintained within the Agency for the full period specified in the appropriate retention schedule.

System manager(s) and address: Finance Officer, NLRB; 1717 Pennsylvania Avenue, N.W.; Washington, D.C. 20570.

See the attached appendix for the titles and addresses of officials at other locations responsible for this system at their locations.

Notification procedure:

1. Current NLRB employees inquiring whether this system contains records on such individual should direct such inquiries to their supervisors.

2. An individual other than a current NLRB employee inquiring whether this system contains a record on such individual should direct such inquiry to the System Manager specified above, or official designated under 'System Manager' as responsible for this system in the office where the individual was previously employed.

3. In determining whether this system contains records on the inquirer, the following information is required: year about which inquiry is being made, and inquirer's name and organizational unit or units in which employed during that year.

Record access procedures:

1. An individual seeking to gain access to, or to contest, records in this system pertaining to such individual should contact the appropriate official or office designated under 'Notification.'

2. In granting access to records in this system, the following information is required: year about which inquiry is being made, and inquirer's name and organizational unit or units in which employed during that year.

Record source categories: Individual to whom the record pertains, timekeeper or supervisor, doctors' statements.

CENTRAL INTELLIGENCE AGENCY

[32 CFR Part 1901]

PRIVACY ACT OF 1974

Proposed Implementation

Notice is hereby given that the Central Intelligence Agency proposes to amend Title 32, Chapter XIX, Code of Federal Regulations by adding a new Part 1901 which implements the provisions of sections 2 and 3 of the Privacy Act of 1974 (Pub. L. 93-579) (hereinafter referred to as the "Act").

The proposed regulations establish policies and procedures to insure the protection of individual privacy and the accuracy of personally identifiable records in accordance with the requirements of the Act. In addition the proposed regulations establish procedures by which individuals may gain access to records identified with that individual and may seek amendment or correction of such records.

The proposed regulations further establish policies and procedures to insure the proper disclosure of information in such records in accordance with the provisions of the Act.

The public may participate in this proposed rulemaking by submitting written data, views or arguments on the proposed regulations to the Privacy Act Coordinator, Central Intelligence Agency, Washington, D.C. 20505 on or before September 15, 1975. All written comments received from the public on or before that date will be considered by the Agency in formulating its final regulations.

Notice is hereby given that it is proposed to make the final regulations effective September 27, 1975, the effective date of section 3, Pub. L. 93-579.

These regulations are the exclusive means by which individuals may request personally identifiable records and information from the Central Intelligence Agency.

Title 32, Chapter XIX, Code of Federal Regulations is proposed to be amended by establishing a new Part 1901, as follows:

PART 1901. PROTECTION OF RECORDS MAINTAINED ON INDIVIDUALS

Sec.	
1901.1	Purpose and scope.
1901.3	Definitions.
1901.11	Procedures for requests pertaining to individual records in a record system.
1901.13	Requirements for identification of individuals making requests.
1901.15	Disclosure of requested information to individuals.
1901.17	Appeal of determination to deny access to requested record.
1901.19	Special procedures for disclosure of medical and psychological records.
1901.21	Request for correction or amendment to record.
1901.23	Appeal of initial adverse agency determination on correction or amendment.
1901.31	Disclosure of record to person other than the individual to whom it pertains.
1901.41	Fees.

Sec.	
1901.51	Penalties.
1901.61	General exemptions.
1901.71	Specific exemptions.

AUTHORITY: 5 U.S.C. 552a; 5 U.S.C. 553.

§ 1901.1 Purpose and scope.

(a) This proposed regulation is published pursuant to the Privacy Act of 1974 (5 U.S.C. 552a). This proposed regulation establishes procedures by which an individual may request notification of whether the Central Intelligence Agency maintains a record pertaining to him in any non-exempt portion of a system of records or any non-exempt system of records, request a copy of such record, request that the record be amended, appeal any initial adverse determination of any request to deny access to or amend a record and submit additional data to augment or correct such record. The proposed regulation further specifies those systems of records or portions of systems of records the Director has determined to exempt from the procedures established by this regulation and from certain provisions of the Act.

(b) The purpose of the proposed general exemption, in the instance of polygraph records, is to prevent access and review of records which intimately reveal a CIA security method. The purpose of the proposed general exemption from the provisions of subsections (c) (3) and (e) (3) (A-D) is to avoid disclosures that may adversely affect ongoing operational relationships with other intelligence and related organizations and thus reveal or jeopardize intelligence sources and methods or risk exposure of intelligence sources and methods in the processing of covert employment applications.

(c) The purpose of the proposed general exemption from subsections (d), (e) (4) (G), (f) (1) and (g) of the Act is to protect only those portions of systems of records which if revealed would risk exposure of intelligence sources and methods or hamper the ability of the CIA to effectively use information received from other agencies or foreign services.

(d) It should be noted that by subjecting information which would consist of, reveal or pertain to intelligence sources and methods to separate determinations by the Director of Central Intelligence under § 1901.61 (c) and (d) regarding access and notice, an intent is established to apply the exemption from access and notice only in those cases where notice in itself would constitute a revelation of intelligence sources and methods. In all cases where only access to information would reveal such source or method, notice will be given upon request.

(e) The purpose of the proposed specific exemptions provided for under section (k) of the Act is to exempt only those portions of systems of records which would consist of, pertain to or reveal that information which is enumerated in the above noted section (k).

(f) In each case, the Director of Central Intelligence has determined that the enumerated classes of information should be exempt in order to comply with directives in Executive Order 11652 deal-

ing with the proper classification of national defense or foreign policy information; protect the privacy of other persons who supplied information under an implied or express grant of confidentiality in the case of law enforcement or employment and security suitability investigations or promotion material in the case of the armed services; protect information used in connection with assisting in protective services under 18 U.S.C. 3056; protecting the efficacy of testing materials; and protect information which would constitute information required by statute to be maintained and used solely as statistical records.

§ 1901.3 Definitions.

For the purposes of this Part;

(a) "Agency" means each authority of the United States Government as defined in 5 U.S.C. 552(e).

(b) "Individual" means a citizen of the United States or an alien lawfully admitted for permanent residence who is a living being and to whom a record might pertain.

(c) "Maintain" means maintain, collect, use, or disseminate.

(d) "Record" means an item, collection or grouping of information about an individual that is maintained by the Central Intelligence Agency.

(e) "System of Records" means a group of any records under the control of the Central Intelligence Agency from which records are retrieved by the name of the individual or by some identifying number, symbol or other identifying particular assigned to the individual.

(f) "Routine use" means (with respect to the disclosure of a record) the use of such record for a purpose which is compatible with the purpose for which the record is maintained.

§ 1901.11 Procedures for requests pertaining to individual records in a record system.

(a) An individual seeking notification of whether a system of records contains a record pertaining to him or an individual seeking access to information or records pertaining to him which is available under the Act shall address his request in writing to the Privacy Act Coordinator, Central Intelligence Agency, Washington, D.C. 20505.

(b) In addition to meeting the identification requirements set forth in § 1901.13 individuals seeking notification or access shall, to the best of their ability, describe the nature of the record sought and the system in which it is thought to be included, as described in the Notices of Records Systems which is published in the August 28, 1975 issue of the FEDERAL REGISTER.

§ 1901.13 Requirements for identification of individuals making requests.

(a) An individual seeking access to or notification of the existence of records about himself shall provide in the letter of request his full name, address, date and place of birth together with a notarized statement swearing to or affirming his identity. If it is determined by the Privacy Act Coordinator that this informa-

tion does not sufficiently identify the individual, the Privacy Act Coordinator may request additional identification from the individual or clarification of information submitted by the individual.

(b) In the case of an individual who is an alien lawfully admitted for permanent residence, said individual shall provide, in addition to the information required under paragraph (a) of this section, his or her Alien Registration number.

(c) The parent or guardian of a minor or a person judicially determined to be incompetent shall, in addition to establishing the identity of the minor or person represented as required in paragraph (a) or (b) of this section, establish evidence of such parentage or guardianship by providing a copy of the minor's birth certificate or the court order establishing such guardianship.

§ 1901.15 Disclosure of requested information to individuals.

(a) Responses to requests made pursuant to § 1901.11 will be made promptly by the Privacy Act Coordinator.

(b) The Privacy Act Coordinator upon receipt of a request made pursuant to § 1901.11 shall refer the request to the responsible components.

(c) The responsible components shall:

(1) Determine whether a record exists; and

(2) Determine whether access may be available under the Act.

(d) The responsible components shall inform the Privacy Act Coordinator of any determination made pursuant to paragraph (c) (1) or (2) of this section. The Privacy Act Coordinator shall, in turn, notify the individual of the determination and shall provide copies of records determined to be accessible if copies have been requested. In the event that information pertaining to the individual in a CIA record system was received from another Federal agency, the individual will be so notified and that information shall be referred to the originating agency.

(e) If a determination has been made not to give access to requested records the Privacy Act Coordinator shall inform the individual of the reason therefore and the right of appeal of this determination by the responsible components under § 1901.17.

(f) This section shall not be construed to allow access to information determined to be exempt under determinations made pursuant to 5 U.S.C. 552a (j) and (k).

§ 1901.17 Appeal of determination to deny access to requested record.

(a) Any individual whose request made pursuant to § 1901.11 is refused may appeal such refusal within thirty days of receipt of notice of refusal.

(b) Appeals shall be sent in writing to the Privacy Act Coordinator and shall identify the particular record system, if possible, which is the subject of the appeal and shall state the basis for the appeal.

(c) The Privacy Act Coordinator, upon receipt of the appeal letter, shall promptly refer the appeal to the Deputy Directors of the responsible components and shall inform the Deputy Directors of the date of receipt of the appeal and shall request the Deputy Directors make a determination on the appeal within thirty days (excluding Saturdays, Sundays or legal holidays).

(d) The Deputy Directors of the responsible components, or senior officers designated by them, shall review the initial decision to deny access to the requested records and shall inform the Privacy Act Coordinator of the review determination. The Privacy Act Coordinator shall, in turn, notify the individual of the result of the determination. If the determination reverses the initial denial, the Privacy Act Coordinator shall provide copies of the records requested. If the determination upholds the initial denial the Privacy Act Coordinator shall inform the individual of his right to judicial review as provided for by this Part.

§ 1901.19 Special procedures for disclosure of medical and psychological records.

(a) When a request for copies of medical records is made by an individual and when the Privacy Act Coordinator determines that such medical and psychological records are not exempt from disclosure, the Privacy Act Coordinator, after consultation with Director of Medical Services, may determine (1) which medical or psychological records may be sent directly to the requestor and (2) which medical or psychological records should not be sent directly to the requestor because of possible harm to the individual. In the case of paragraph (a) (2) of this section, the Privacy Act Coordinator shall so notify the requestor.

(b) When a determination has been made not to make medical or psychological records noted in paragraph (a) of this section available to the individual the Privacy Act Coordinator shall inform the individual that the medical or psychological record will be made available to a physician of the individual's choice if the individual specifically requests. Upon receipt of such request and after proper verification of the identity of the physician, the Privacy Act Coordinator shall send such records to the named physician.

§ 1901.21 Request for correction or amendment of record.

(a) An individual may request amendment or correction of a record pertaining to him by addressing such request by mail to the Privacy Act Coordinator, Central Intelligence Agency, Washington, D.C. 20505. The request shall identify the particular record the individual wishes to amend or correct, the nature of the correction or amendment sought, and a justification for such correction or amendment.

(b) Within ten days of receipt of the request by the Privacy Act Coordinator

(excluding Saturdays, Sundays and legal holidays) the Privacy Act Coordinator shall acknowledge receipt of the request.

(c) The Privacy Act Coordinator shall refer such requests to the components responsible for the record upon receipt of such request, shall advise the responsible components of the date of receipt and shall request that the responsible components make an initial determination on such request within thirty days of receipt (excluding Saturdays, Sundays and legal holidays).

(d) The responsible components shall:

(1) Make any correction or amendment to any portion of the record which the individual believes is not accurate, relevant, timely or complete and shall inform the Privacy Act Coordinator of this action, and the Privacy Act Coordinator shall, in turn, promptly inform the requestor; or

(2) Determine that the requested correction or amendment will not be made and shall so inform the Privacy Act Coordinator who, in turn, shall promptly inform the individual, setting out the reasons for the refusal and advising the individual of the right of appeal to Deputy Directors of the responsible components under § 1901.23.

§ 1901.23 Appeal of initial adverse agency determination on correction or amendment.

(a) Any individual whose request made pursuant to § 1901.21 is refused may appeal such refusal within thirty days of receipt of notice of refusal.

(b) Appeals shall be sent in writing to the Privacy Act Coordinator and shall identify the particular record which is the subject of the appeal and shall state the basis for the appeal.

(c) The Privacy Act Coordinator, upon receipt of the appeal letter, shall promptly refer the appeal to the Deputy Directors of the responsible components and shall inform the Deputy Directors of the date of receipt of the appeal and shall direct that the Deputy Directors make a determination on the appeal within thirty days (excluding Saturdays, Sundays or legal holidays).

(d) The Deputy Directors of the responsible components, or senior officers designated by them, shall determine whether or not to amend the record and shall inform the Privacy Act Coordinator of the determination. The Privacy Act Coordinator shall, in turn, notify the individual of the result of the determination, and inform the individual of his right to submit a statement pursuant to paragraph (e) of this section or to judicial review as provided for in this Part.

(e) If on appeal the refusal to amend or correct the record is upheld, the individual may file a concise statement setting forth the reasons for his disagreement with the determination. This statement shall be sent to the Privacy Act Coordinator, Central Intelligence Agency, Washington, D.C. 20505 within thirty days of notification of refusal to correct or amend the record.

(f) The Director of Central Intelligence may extend up to thirty days the

time period prescribed in paragraph (c) of this section within which to make a determination on an appeal from a refusal to amend or correct a record if it is found that a fair and equitable review cannot be completed within the prescribed time.

§ 1901.31 Disclosure of a record to a person other than the individual to whom it pertains.

(a) No record which is within a system of records shall be disclosed by any means of communication to any person, or to another agency, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains, unless disclosure of the record would be:

(1) To those officers and employees of the agency which maintains the record who have a need for the record in the performance of their duties;

(2) Required under 5 U.S.C. 552.

(3) For a routine use as defined in section 1901.3(f), as contained in the Notice of Systems published in the *FEDERAL REGISTER* of August 28, 1975 and as described in subsection (e) (4) (D) of the Act.

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of title 13;

(5) To a recipient who has provided the agency with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to the agency which maintains the record specifying the particular portion desired and the law enforcement activity for which the record is sought;

(8) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of such individual;

(9) To either House of Congress, or to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee;

(10) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

(11) Pursuant to the order of a court of competent jurisdiction.

§ 1901.41 Fees.

(a) No fee shall be charged for the provision of copies of records requested under the Privacy Act (5 U.S.C. 552a).

§ 1901.51 Penalties.

(a) Criminal penalties may be imposed against any officer or employee of the CIA who, by virtue of his employment, has possession of, or access to, Agency records which contain information identifiable with an individual, the disclosure of which is prohibited by the Act or by these rules, and who knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it.

(b) Criminal penalties may be imposed against any officer or employee of the CIA who willfully maintains a system of records without meeting the requirements of subsection (e) (4) of the Act (5 U.S.C. 552a(e) (4)).

(c) Criminal penalties may be imposed upon any person who knowingly and willfully requests or obtains any record concerning an individual from the CIA under false pretenses.

§ 1901.61 General exemptions.

(a) Pursuant to authority granted in section (j) of the Act (5 U.S.C. 552a(j)) the Director of Central Intelligence has determined to exempt from all sections of the Act except 552a(b), (c) (1) and (2), (e) (1) (4) (A) through (F), (e) (5), (6), (7), (9), (10), and (11), and (i) the following systems of records or portions of records in a system of record:

(1) Polygraph records.

(b) Pursuant to authority granted in section (j) of the Act the Director of Central Intelligence has determined to exempt from subsections (c) (3) and (e) (3) (A through D) of the Act all systems of records maintained by the CIA.

(c) Pursuant to authority granted in subsection (j) of the Act the Director of Central Intelligence has determined to exempt from notification under subsections (e) (4) (G) and (f) (1) those portions of each and all systems of records which have been exempted from individual access under subsection (j), in those cases where the Privacy Act Coordinator determines after advice by the responsible components, that confirmation of the existence of a record may jeopardize intelligence sources and methods. In such cases the CIA may choose to neither confirm nor deny the existence of the record and may advise the individual that there is no record which is available to him pursuant to the Privacy Act of 1974.

(d) Pursuant to authority granted in subsection (j) of the Act the Director of Central Intelligence has determined to exempt from access by individuals under subsection (d) of the Act those portions and only those portions of all systems of records maintained by the CIA that:

(1) Consist of, pertain to, or would otherwise reveal intelligence sources and methods

(2) Consist of documents or information provided by foreign, federal, state, or other public agencies or authorities.

(e) Pursuant to authority granted in subsection (j) of the Act the Director of Central Intelligence has determined to exempt from judicial review under subsection (g) of the Act all determinations to deny access under section (d) of the Act and all decisions to deny notice under subsections (e) (4) (G) and (f) (1) of the Act pursuant to determination made under paragraph (c) of this section when it has been determined by an appropriate official of the CIA that such access would disclose information which would:

(1) Consist of, pertain to or otherwise reveal intelligence sources and methods;

(2) Consist of documents or information provided by foreign, federal, state, or other public agencies or authorities.

§ 1901.71 Specific exemptions.

(a) Pursuant to authority granted in subsection (k) of the Act (5 U.S.C. 552a(k)) the Director of Central Intelligence has determined to exempt from subsection (d) those portions and only those portions of all systems of records maintained by the CIA that would consist of, pertain to or would otherwise reveal information that is:

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

(2) Investigatory material compiled for law enforcement purposes, other than material within the scope of subsection (j) (2) of the Act; provided, however, That if any individual is denied any right, privilege, or benefit that he would otherwise be eligible, as a result of the maintenance of such material, such material shall be provided to such individual, except to the extent that the disclosure of such material would reveal the identity of a source who furnished the information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence;

(3) Maintained in connection with providing protective services to the President of the United States or other individuals pursuant to section 3056 of title 18;

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

(5) Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence;

(6) Testing or examination material used solely to determine individual qual-

ifications for appointment or promotion in the Federal service the disclosure of which would compromise the objectivity or fairness of the testing or examination process; or

(7) Evaluation material used to determine potential for promotion in the armed services, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to the effective date of this section, under an implied promise that the identity of the source would be held in confidence.

JOHN F. BLAKE,
*Deputy Director for
Administration.*

**ADDITION TO STATEMENT OF GENERAL
ROUTINE USES OF SYSTEMS OF
RECORDS:**

The following paragraph should be added to the statement of General Routine uses which precedes the notice of systems of records maintained by CIA:

5. A record from this system of records may be disclosed to the Office of Management and Budget in connection with the review of private release legislation as set forth in OMB Circular No. A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

CENTRAL INTELLIGENCE AGENCY

Privacy Act of 1974

Notice of Systems of Records

Notice is hereby given that the Central Intelligence Agency in accordance with 5 U.S.C. 552a(e)(4) and (11), Section 3 of the Privacy Act of 1974 (Public Law 93-579), proposes to adopt the notice of systems of records set forth below. Any person interested in this notice may submit written data, views, or arguments to the Privacy Act Coordinator, Central Intelligence Agency, Washington, D.C. 20505, on or before September 15, 1975. All written comments received from the public through such date will be considered by the Central Intelligence Agency before adopting a final notice.

Effective date. This notice shall be effective August 28, 1975.

Dated: August 21, 1975.

JOHN F. BLAKE
Deputy Director for Administration

STATEMENT OF GENERAL ROUTINE USES

The following routine uses apply to, and are incorporated by reference into, each system of records set forth below.

1. In the event that a system of records maintained by the Central Intelligence Agency to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. A record from this system of records may be disclosed, as a routine use, to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a Central Intelligence Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, or the letting of a contract.

3. A record from this system of records may be disclosed, as a routine use, to a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

TABLE OF CONTENTS

RECORD SYSTEM

Academic Relations File—CIA-46
Agency Training Record—CIA-2
Applicant Files—CIA-30
Applications Division Tracking System—CIA-1
Briefing Program File—CIA-43
Career Trainee Files—CIA-6
Central Badge System—CIA-54
CIA Authors File—CIA-40
Clinical and Psychiatric Files (Applicants)—CIA-35
Clinical and Psychiatric Files (Employees)—CIA-34
Computer Access File—CIA-3
Congressional Liaison Records—CIA-38
Consultant and Independent Contractor Records—CIA-32
Current Employees and Former Employees (official Personnel files and records related thereto)—CIA-31
Cryptographic Access File—CIA-48
Directorate of Operations Records System—CIA-49
Employee Grievance Folders—CIA-15
Equal Employment Opportunity Complainant Records—CIA-14
Equipment and Supplies Accountability Records—CIA-19
External Training Files—CIA-12
Foreign Map Source Files—CIA-44
Financial Records—CIA-50
Freedom of Information Act Requesters—CIA-22
Guest Speakers—CIA-13

Intelligence in Public Literature File—CIA-41
Language Learning Center Student Files—CIA-9
Language Qualifications Register—CIA-10
Legal Subject Records—CIA-5
Liaison Contact Files—CIA-53
Library Open Literature Ready Reference File—CIA-42
Logistics Security Clearance Records—CIA-20
Manpower Controls System—CIA-29
Medical Facilities and Physicians—CIA-36
Modern Language Aptitude Test Scores (MLAT)—CIA-11
Occupational Accident Report Records—CIA-55
Off-Campus Instructor Applicant Files—CIA-7
Office of Joint Computer Support Training and Skills Inventory—CIA-2
Parking Permit Files—CIA-16
Personal Property Claims Records—CIA-18
Polygraph Files—CIA-23
Privacy Act Requesters—CIA-21
Private Attorney Panel—CIA-4
Professors and Placement Officers of Selected Colleges—CIA-47
Prospective Contributors for the Collection of Foreign Intelligence—CIA-33
Psychological Test Data Files—CIA-37
Publications about CIA—CIA-39
Security Analysis Records—CIA-56
Security Duty Office Events Reports—CIA-51
Security Records—CIA-57
Soviet-U.S. Contacts File—CIA-45
Special Clearance System—CIA-52
Supplemental Personnel (Soft) Files—CIA-24
Supplemental Personnel (Soft) Files—CIA-25
Supplemental Personnel (Soft) Files—CIA-26
Supplemental Personnel (Soft) Files—CIA-27
Supplemental Personnel (Soft) Files—CIA-28
Vehicle Operators File—CIA-17

CIA-1.

System name: Applications Division Tracking System.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Agency and contract employees, employees of contractor supporting Office of Joint Computer Support, currently or formerly assigned to computer software development or maintenance projects in Applications Division.

Categories of records in the system: Documentation of hours logged on each assigned programming or overhead project.

Authority for maintenance of the system: Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Applications Division staff for periodic reporting to Applications Division management man-hours expended to develop assigned programming projects and overhead hours. Used for tracking the usage and scheduling of all resources for developing software.

Used to substantiate hours spent by contractor personnel on billable contractual activity.

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

Storage: Magnetic disk.

Retrievability: Name and employee number.

Safeguards: Limited to specifically designated and cleared personnel.

Retention and disposal: Records are erased when hours of activity are no longer needed by management.

System manager(s) and address:

Director, Office of Joint Computer Support
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Agency employees, contract employees, employees of contractor supporting the Office of Joint Computer Support.

CIA-2.

System name: Office of Joint Computer Support Training and Skills Inventory.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Employees, contract employees, and employees of contractors assigned to the Office of Joint Computer Support (OJCS).

Categories of records in the system: Documentation of CIA-funded training for each individual assigned to the Office of Joint Computer Support.

Documentation submitted by each individual assigned to OJCS, indicating his self-evaluation of his programming skills.

Authority for maintenance of the system: Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Assist D/OJCS in ascertaining what additional training personnel should receive.

Assist D/OJCS in the management of personnel assignments to new programming tasks.

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

Storage: Magnetic disk.

Retrievability: By Name.

Safeguards: Access to and use of these records is limited to those persons whose official duties require such access.

Retention and disposal: Records are purged as employees separate from OJCS via periodic updates.

System manager(s) and address:

Director, Office of Joint Computer Support
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Agency personnel and employees of contractors.

CIA-3.

System name: Computer Access File.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Agency employees having special access to Office of Joint Computer Support computer systems.

Agency cleared contractors who have been granted access to Office of Joint Computer Support computer systems.

Categories of records in the system: Individual's name, office, user identification code, badge number and computer systems to which the individual has access.

Authority for maintenance of the system: Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Office of Joint Computer Support Security Officers, computer system and data base managers, and Automated Data Processing Control Officers use the system to:

Determine computer system(s), if any, to which an individual at CIA has access.

Control access to computer systems through automated computer system verifications of individual's authorization for access to computer which he/she is attempting to use.

Determine the name, office, room number and badge number associated with the user identification code of an individual suspected of a possible violation of computer systems security procedures.

Identify individuals listed in audit trail records as having accessed a particular computer system or computer-based system of records.

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

Storage: Magnetic disk packs with "back-up" records on tapes and controlled hard copy computer listings used for reference. Applications and approval for access are maintained in paper files.

Retrievability: Name and user identification code.

Safeguards: Access to these records is limited to cleared persons whose official duties require such access. Personnel screening and computer system security protective mechanisms are employed to prevent unauthorized disclosure. Hard copy computer listings and paper files are maintained in combination lock safes or vaulted areas.

Retention and disposal: Records of individuals who no longer have access to Office of Joint Computer Support systems are deleted from computer-based system of records.

As changes are made and new master computer listings are generated, the paper listings are destroyed by burning and the records on magnetic media are degaussed. There is no retention of these records.

System manager(s) and address:

Director, Office of Joint Computer Support
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employees.

Contractor employees.

CIA-4.

System name: Private Attorney Panel.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Attorneys in private practice.

Categories of records in the system: Name, address, date and place of birth, education, law firm (if any), State(s) admitted to Bar, and date and type of clearance.

Authority for maintenance of the system: Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide a list of private attorneys for use on CIA classified projects.

To provide a referral list for those employees whose employment with CIA must be protected.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Records are stored in a combination lock safe and access is only by personnel in the Office of General Counsel.

Retention and disposal: Permanent retention.

System manager(s) and address:

General Counsel
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Attorneys, CIA employees and former employees.

Martindale-Hubbell Law Directory.

CIA—5.

System name: Legal Subject Records.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Agency employees, defectors, individual plaintiffs in litigation cases, individuals asserting claims against CIA, contractors and consultants, authors, journalists and other individuals who become involved in legal relationships or matters with CIA.

Categories of records in the system: Correspondence, affidavits, briefs and other legal documents, reports of investigation, Government forms, cables and internal CIA memoranda.

Authority for maintenance of the system: Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide factual information for legal opinions.

To provide factual information for litigation reports prepared for the Department of Justice.

To provide factual information for dealing with Agency contractors and consultants.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Records are stored in combination lock safes and access is only by personnel in the Office of General Counsel.

Retention and disposal: Permanent retention.

System manager(s) and address:

General Counsel
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individuals identified in

Categories of individuals covered by the system: above, Federal agencies and other CIA records systems.

CIA—6.

System name: Career Trainee Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Applicants and employees selected for Career Training Program.

Categories of records in the system: Name, biographic data, test results of applicant being considered for Career Training Program. Employee name, biographic data, test results, training evaluations, correspondence, trainee progress reports and supervisor reports on trainees during their interim assignments, and memoranda for the record.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Agency officials to determine an individual's selection for the Career Training Program.

Used by Agency officials for monitoring training activity after selection.

Used by Agency officials for job placement after completion of training program.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Stored in combination lock safe; access is limited to Career Trainee Program Officers, and Personnel Officers.

Retention and disposal: Files are retained for duration of the employee's participation in the Career Training Program. Official transcripts are transferred to the Official Personnel Folder. All other material is destroyed by burning upon employee's completion of the program. Rejected applicants' files are retained for two years and then destroyed by burning.

System manager(s) and address:

Director, Office of Training
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: The sources of information in these files are Program Officers, educational institutions, and the individual.

CIA-7.

System name: Off-Campus Instructor Applicant Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Agency employees who are applicants for part-time instructor positions in the Agency Off-Campus Program sponsored by University of Virginia.

Categories of records in the system: Applicant forms for teaching in the Off-Campus Program.

Correspondence with University of Virginia including application approvals and rejections and documents concerning contract administration.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Agency officials to administer Instructor Program for Off-Campus college courses provided to employees.

Recommendations to University of Virginia for employing instructors.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Stored in combination lock safes. Access by CIA officials on need-to-know basis.

Retention and disposal: Records are retained for three years after termination of employment of instructor. Unsuccessful applicant files are destroyed by burning after one year.

System manager(s) and address:

Director, Office of Training
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employee, educational institutions, student evaluation of the instructor and the University of Virginia.

CIA-8.

System name: Agency Training Record.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Employees sponsored for training programs.

Categories of records in the system: A machine run which lists the individual's transcript of Agency-sponsored training.

Authority for maintenance of the system: Title 5, USC, Chapter 41.

Central Intelligence Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records are used by Agency officials for processing employee requests for Agency-sponsored training.

Used by Agency officials to evaluate training requirements in connection with a proposed assignment.

Agency Career Management and Training Officers use this record as a management tool in counseling employees concerning their career development.

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

Storage: Machine listing.

Retrievability: By name.

Safeguards: Stored in combination lock safes. Access is restricted to Training Officers, Personnel Officers, Supervisors and the TSS/OTR Staff.

Retention and disposal: Permanent retention.

System manager(s) and address:

Director, Office of Training
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Transcripts from educational institutions, certificates of successful completion from the training facility and training reports from the individual.

CIA-9.

System name: Language Learning Center Student Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Employees enrolled in the Language Learning Center.

Categories of records in the system: Biographic data, test scores, training reports from instructors, training requests from sponsoring office and attendance reports.

Authority for maintenance of the system: Title 5, U.S.C. Chapter 41.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Agency officials to monitor student performance. Transcript is entered in the Agency Training Record.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Records stored in secure areas. Access on a need-to-know basis.

Retention and disposal: Retained for duration of student enrollment. Records are destroyed by burning.

System manager(s) and address:

Director, Office of Training
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employees and instructors.

CIA-10.

System name: Language Qualifications Register.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Employees who claim a foreign language proficiency.

Categories of records in the system: Employee claim of foreign language proficiency, and identifying biographic data.

Authority for maintenance of the system: Title 5, U.S.C. Chapter 41.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Agency personnel for processing requests for foreign language training and for language proficiency cash awards.

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

Storage: Paper and magnetic tape.

Retrievability: Name and language.

Safeguards: Maintained in combination lock safes. Access on a need-to-know basis.

Retention and disposal: Record updated semiannually. Outdated paper record is destroyed by burning. Magnetic tapes are degaussed. 3

System manager(s) and address:

Director, Office of Training
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employees.

CIA-11.

System name: Modern Language Aptitude Test Scores (MLAT).

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Selected applicants and employees who have taken the Modern Language Aptitude Test.

Categories of records in the system: Name, biographic data and test scores.

Authority for maintenance of the system: Title 5, U.S.C. Chapter 41.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Language Learning Center personnel to evaluate student potential for learning a foreign language.

Used by Personnel Officers in deciding appointment and job placement.

Aptitude test scores are provided to Foreign Service Institute when employee is enrolled in their language program.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Stored in combination lock safes; access on a need-to-know basis.

Retention and disposal: Permanent retention.

System manager(s) and address:

Director, Office of Training
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individual.

CIA-12.

System name: External Training Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Employees sponsored for external training programs.

Categories of records in the system: Employee biographic data, correspondence with public and private educational institutions.

transcript and grades, training requests and administrative documents related to enrollment, employees evaluation of training course and employee Training Obligation Agreement.

Authority for maintenance of the system: Title 5, USC, Chapter 41.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Agency officials to determine employee's eligibility for Agency sponsored training.

Used by Agency officials to enroll employees in private and public educational institutions.

Used by Agency officials to evaluate courses for future enrollment of employees.

Data for Agency Training Record.

Notification of funds advanced and accountings are proved to the Office of Finance.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

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

Storage: Paper and punch cards.

Retrievability: Name and employee number.

Safeguards: Stored in combination lock safe; access on need-to-know basis.

Retention and disposal: Retained for one year after employee completes course of instruction; records are destroyed by burning.

System manager(s) and address:

Director, Office of Training
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: The sources of information are from the individual, his sponsoring office, and the external training facility.

CIA-13.

System name: Guest Speakers.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Individuals under consideration for guest speaker engagements in CIA training courses. Individuals include members of the academic journalistic and business world as well as present and former senior Agency officials.

Categories of records in the system: Name, biographic data including academic credentials and professional background, correspondence and administrative papers and memoranda for the record.

Authority for maintenance of the system: Section 506(a), Federal Records Act of 1950, (44 U.S.C., Section 3101).

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

in curriculum development and selection of speakers for scheduled training courses.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Files are stored in a combination lock safe. Use of material is restricted to Training Officers involved in course development.

Retention and disposal: Files are maintained as long as the Agency has interest in a speaker. Records are destroyed by burning.

System manager(s) and address:

Director, Office of Training
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individual, Agency officials, academic and private institutions, Federal agencies.

CIA-14.

System name: Equal Employment Opportunity Complainant Records.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Current or former contract, staff or detailed military personnel of the Agency as well as applicants for employment.

Categories of records in the system: Data collected by an EEO Investigator which bears on the charges of discrimination brought by the complainant. File contains sworn affidavits from the complainant, the alleged discriminating officer(s), and other individuals directly involved, as well as other documents, records, or other statistical evidence considered pertinent to the case or which assists the Agency in making its decision.

Authority for maintenance of the system: Equal Employment Opportunity Act of 1972, Public Law 92-261.

Executive Orders 11478 and 5 C.F.R., Part 713.222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide information in the adjudication of complaints.

To provide information for review by the Civil Service Commission.

To provide information for Federal court review.

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

Storage: Paper.

Retrievability: By complainant name.

Safeguards: Filed in combination lock safes; limited access by staff only.

Retention and disposal: Completed cases transferred to Records Center at end of each year. Held in Records Center for 10 years from date of retirement then returned to the OEEO for review and disposal.

System manager(s) and address:

Director, Equal Employment Opportunity
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Information obtained from the complainant, the alleged discriminating official, and other individuals as well as documents, records, and statistics gathered in the investigation.

CIA-15.

System name: Employee Grievance Folders.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Employee. Grievance generally filed by IG Case Number assigned by Office of Inspector General.

Categories of records in the system: Data from employees coming to Inspector General with grievances re nature of grievance, circumstance that caused grievance and how settled.

Authority for maintenance of the system: Executive Order 10987, By Regulation.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by members of the Office of the Inspector General to investigate grievance to its conclusion.

To refer or provide information in response to or by direction of a court order, or where there is an indication of a violation or potential violation of law whether civil, criminal, or regulatory in nature, to the appropriate agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing a statute or law, regulation or order issued pursuant thereto.

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

Storage: Paper.

Retrievability: By case number.

Safeguards: Materials are stored in combination lock safe; access limited to OIG staff members.

Retention and disposal: Inactive cases transferred to Records Center at end of each year. Held in Records Center for ten years from date of retirement, then returned to the OIG for review and disposal by burning.

System manager(s) and address:

Inspector General
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules. HP Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Information obtained from complaint and other employees when grievances are investigated.

CIA-16.

System name: Parking Permit Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Records include name, vehicle license number, office designation, location, and extension.

Authority for maintenance of the system: Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Federal Property Management Regulation D-47 (GSA).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Agency employees responsible for allocation and control of parking spaces at the Headquarters Building.

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

Storage: Paper.

Retrievability: By name, vehicle license number, assigned parking space number and assigned reference number.

Safeguards: Stored in safes, vaults or secure area. Access limited to staff employees.

Retention and disposal: Records marked void upon updating of information or upon cancellation of parking permit.

System manager(s) and address:

Director, Office of Logistics
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employees.

CIA-17.

System name: Vehicle Operators File.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Name, medical qualification forms, score sheets for driver's test, registers of permits issued and records regarding accidents. Accident report records include police data and investigation reports in addition to information on vehicle involved.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Agency employees for issuing official U.S. Government driver's licenses and renewals.

For review by CIA officials in accident cases.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other per-

inent information, such as current licenses, if necessary to obtain information relevant to any agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

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

Storage: Paper.

Retrievability: Individual name or driver's permit number.

Safeguards: Physically protected in a secure area. Access is limited to employees who have the need-to-know.

Retention and disposal: Destroyed by burning three years after license is no longer valid. Accident reports are destroyed six years after case is closed.

System manager(s) and address:

Director, Office of Logistics
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individual.

Agency officials.

Federal, State and local law enforcement agencies in cases when employee is involved in an auto accident.

CIA-18.

System name: Personal Property Claim Records.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Employees and former employees.

Categories of records in the system: Claimant name, address, nature and loss or damage to personal effects, including inventory of items.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Claims Review Board determines amount of financial loss sustained by claimant.

Reimbursement for property loss.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Information is stored in safes or secure areas. Access is limited to staff employees working on such cases.

Retention and disposal: Records are destroyed by burning two years after final action on case.

System manager(s) and address:

Director, Office of Logistics
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individual concerned and various Agency staff elements involved in processing and adjudication of claims.

CIA-19.

System name: Equipment and Supplies Accountability Records

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Employees.

Categories of records in the system: Name, signature, office location, telephone extension and item of government equipment on loan or charged to the employee.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Agency officials who control and account for government nonexpendable items.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Physically protected in secure areas. Only employees charged with the responsibility of controlling government property have access.

Retention and disposal: Signature card is returned to individual charged upon return or item. Record is destroyed by burning after inventory adjustment to property records.

System manager(s) and address:

Director, Office of Logistics
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individual concerned and appropriate accountable property officers.

CIA-20.

System name: Logistics Security Clearance Records.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Commercial contractors and vendors, persons in the private sector associated with the Agency, and individuals in other government agencies contacted for liaison purposes.

Categories of records in the system: Biographic data including name, address, position, and security clearance held.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by staff employees in conducting Agency business with the commercial sector and liaison with other government agencies.

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

Storage: Paper.

Retrievability: By individual or company name.

Safeguards: Information stored in safes, vaults or secure areas. Access is limited to staff employees with the need-to-know.

Retention and disposal: Records destroyed upon expiration of clearance. Clearances may be revalidated three years after initial approval.

System manager(s) and address:

Director, Office of Logistics
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Information obtained from individual concerned and certification of clearance from Office of Security.

CIA-21.

System name: Privacy Act Requesters.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: U.S. citizens and aliens lawfully admitted for permanent residence.

Categories of records in the system: Files contain all correspondence and other documents related to the receipt, processing and final disposition of requests received by the Agency for information under the Privacy Act of 1974.

Authority for maintenance of the system: Privacy Act of 1974—Public Law 93-579.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide information for compiling an annual report (beginning 30 April 1976) for the Office of Management and Budget as required by the Act.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Files are stored in combination lock safes; access is on a need-to-know basis.

Retention and disposal: Permanent retention.

System manager(s) and address:

Chief, Information Review Staff
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: U.S. citizens.

Aliens lawfully admitted for permanent residence.

CIA-22.

System name: Freedom of Information Act Requesters.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Individual who makes requests to CIA under the Freedom of Information Act.

Categories of records in the system: Files contain all correspondence and other documents related to the receipt, processing and final disposition of requests received by the Agency for information under the Freedom of Information Act, 1974.

Authority for maintenance of the system: Freedom of Information Act of 1974 as Amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide information for compiling reports required under the Freedom of Information Act.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Files are stored in combination lock safes; access is on a need-to-know basis.

Retention and disposal: Permanent retention.

System manager(s) and address:

Chief, Information Review Staff
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individuals.

CIA-23.

System name: Polygraph Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Applicants for employment, employees, and certain individuals considered for assignment to the Agency.

Categories of records in the system: Polygraph report, charts, and notes.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Executive Order 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by the Office of Security to make determinations of security eligibility for employment pursuant to Executive Order 10450.

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

Storage: Paper and tape cassettes.

Retrievability: By name.

Safeguards: Files are maintained in a vault; access is permitted only while in the custody of polygraph staff members.

Retention and disposal: Indefinite. Records are destroyed by burning when they become inactive.

System manager(s) and address:

Director, Office of Security
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: The source of all information obtained is from the polygraph interviews.

Systems exempted from certain provisions of the act: Pursuant to authority granted in Section (j) of the Act (5 U.S.C. 552a(j)), the Director of Central Intelligence has determined to exempt polygraph records from all sections of the Act except 552a (b), (c)(1) and (2), (e)(1), (e)(4) (A) through (F), (e)(5), (6), (7), (9), (10), and (11), and (i). These records are exempted to prevent access, accountability, and judicial review of records which intimately reveal an Agency security method.

CIA-24.

System name: Supplemental Personnel (Soft) Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Current or former staff or contract employees and detailed military personnel.

Categories of records in the system: Memoranda of discussions, working copies of personnel and contract actions including

procedural checklists, performance appraisals, travel and shipping orders. Information concerning conduct, training, special qualifications or restrictions, dependency and residence, emergency notifications, biographic data, Letters of Instruction. Also, cables and dispatches of administrative and operational significance, and photographs.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used as a supplement to the official personnel folders by authorized operating officials to facilitate and expedite processing or procedural requirements and transactions of employees.

Serves as a management tool for administrative and operating officials for purposes of employee assignment, promotion, and career development considerations and determinations.

To refer or provide information in response to or by direction of a court order, or where there is an indication of a violation or potential violation of law whether civil, criminal, or regulatory in nature, to the appropriate agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing a statute or law, regulation or order issued pursuant thereto.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Files are maintained in vaulted areas or approved metal filing cabinets; file release is on a controlled-loan basis to authorized officials.

Retention and disposal: Retained one year after separation from the Agency when material of soft file is reviewed to determine and destroy any duplicate records which are contained in the official personnel folder, and ensure filing of material in operational files, as appropriate.

System manager(s) and address:

Chief, DDI Management Staff
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employee.

Career Service Panel.

Agency officials.

CIA-25.

System name: Supplemental Personnel (Soft) Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Current or former staff or contract employees and detailed military personnel.

Categories of records in the system: Memoranda of discussions, working copies of personnel and contract actions including procedural checklists, performance appraisals, travel and shipping orders. Information concerning conduct, training, special qualifications or restrictions, dependency and residence, emergency noti-

cations, biographic data, Letters of Instruction. Also, cables and dispatches of administrative and operational significance, and photographs.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used as a supplement to the official personnel folders by authorized operating officials to facilitate and expedite processing or procedural requirements and transactions of employees.

Serves as a management tool for administrative and operating officials for purposes of employee assignment, promotion, and career development considerations and determinations.

To refer or provide information in response to or by direction of a court order, or where there is an indication of a violation or potential violation of law whether civil, criminal, or regulatory in nature, to the appropriate agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing a statute or law, regulation or order issued pursuant thereto.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Files are maintained in vaulted areas or approved metal filing cabinets; file release is on a controlled-loan basis to authorized officials.

Retention and disposal: Retained one year after separation from the Agency when material of soft file is reviewed to determine and destroy any duplicate records which are contained in the official personnel folder, and ensure filing of material in operational files, as appropriate.

System manager(s) and address:

Chief, Personnel Officer, DDS&T
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employee.

Career Service Panel.
Agency officials.

CIA—26.

System name: Supplemental Personnel (Soft) Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Current or former staff or contract employees and detailed military personnel.

Categories of records in the system: Memoranda of discussions, working copies of personnel and contract actions including procedural checklists, performance appraisals, travel and shipping orders. Information concerning conduct, training, special qualifications or restrictions, dependency and residence, emergency notifications, biographic data, Letters of Instruction. Also, cables and dispatches of administrative and operational significance, and photographs.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used as a supplement to the official personnel folders by authorized operating officials to facilitate and expedite processing or procedural requirements and transactions of employees.

Serves as a management tool for administrative and operating officials for purposes of employee assignment, promotion, and career development considerations and determinations.

To refer or provide information in response to or by direction of a court order, or where there is an indication of a violation or potential violation of law whether civil, criminal, or regulatory in nature, to the appropriate agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing a statute or law, regulation or order issued pursuant thereto.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Files are maintained in vaulted areas or approved metal filing cabinets; file release is on a controlled-loan basis to authorized officials.

Retention and disposal: Retained one year after separation from the Agency when material of soft file is reviewed to determine and destroy any duplicate records which are contained in the official personnel folder, and ensure filing of material in operational files, as appropriate.

System manager(s) and address:

Career Management Officer/DDA
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employee.

Career Service Panel.
Agency officials.

CIA—27.

System name: Supplemental Personnel (Soft) Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Current or former staff or contract employees and detailed military personnel.

Categories of records in the system: Memoranda of discussions, working copies of personnel and contract actions including procedural checklists, performance appraisals, travel and shipping orders. Information concerning conduct, training, special qualifications or restrictions, dependency and residence, emergency notifications, biographic data, Letters of Instruction. Also, cables and dispatches of administrative and operational significance, and photographs.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used as a supplement to the official personnel folders by authorized operating officials to facilitate and expedite processing or procedural requirements and transactions of employees.

Serves as a management tool for administrative and operating officials for purposes of employee assignment, promotion, and career development considerations and determinations.

To refer or provide information in response to or by direction of a court order, or where there is an indication of a violation or potential violation of law whether civil, criminal, or regulatory in nature, to the appropriate agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing a statute or law, regulation or order issued pursuant thereto.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Files are maintained in vaulted areas or approved metal filing cabinets; file release is on a controlled-loan basis to authorized officials.

Retention and disposal: Retained one year after separation from the Agency when material of soft file is reviewed to determine and destroy any duplicate records which are contained in the official personnel folder, and ensure filing of material in operational files, as appropriate.

System manager(s) and address:

Chief, Services Staff, DDO
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements: are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employee.

Career Service Panel.
Agency officials.

CIA-28.

System name: Supplemental Personnel (Soft) Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Current or former staff or contract employees and detailed military personnel.

Categories of records in the system: Memoranda of discussions, working copies of personnel and contract actions including procedural checklists, performance appraisals, travel and shipping orders. Information concerning conduct, training, special qualifications or restrictions, dependency and residence, emergency notifications, biographic data, Letters of Instruction. Also, cables and dispatches of administrative and operational significance, and photographs.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used as a supplement to the official personnel folders by authorized operating officials to facilitate and expedite processing or procedural requirements and transactions of employees.

Serves as a management tool for administrative and operating officials for purposes of employee assignment, promotion, and career development considerations and determinations.

To refer or provide information in response to or by direction of a court order, or where there is an indication of a violation or potential violation of law whether civil, criminal, or regulatory in nature, to the appropriate agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing a statute or law, regulation or order issued pursuant thereto.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Files are maintained in vaulted areas or approved metal filing cabinets; file release is on a controlled-loan basis to authorized officials.

Retention and disposal: Retained one year after separation from the Agency when material of soft file is reviewed to determine and destroy any duplicate records which are contained in the official personnel folder, and ensure filing of material in operational files, as appropriate.

System manager(s) and address:

Administrative Officer, Office of the DCI
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements: are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employee.

Career Service Panel.
Agency officials.

CIA-29.

System name: Manpower Control System.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Current and former Agency personnel and military or civilian personnel on detail to the Agency.

Contract employees since January 1969.

Applicants in process for employment for whom clearance has been requested.

Recipients of Agency awards.

Participants, and beneficiaries designated by deceased employees who were participants, in the Agency's retirement system and Voluntary Investment Plan.

Categories of records in the system: Data on employment history, fitness reports, qualifications and skills, insurance and medical benefits, retirement status, Voluntary Investment Plan accounts, emergency designees, home and work addresses, Agency awards, military reserve data, cases in process for employment, ceilings, position and staffing patterns.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Central Intelligence Agency Retirement Act of 1964 for Certain Employees, as Amended—Public Law 88-643.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide statistical reports for CIA management on strength, distribution and utilization of manpower, average grades and salaries, minorities, projected retirements, profiles of Agency skills and qualifications, comparative rates on promotions, separations, new employees, reasons for separations.

To provide rosters and statistics for heads of Career Services to assist them in administering their career development and evaluation programs, including promotion rates and headroom, fitness report ratings, qualifications, changes in their Career Services.

To provide staffing patterns, grade and salary data for office heads required for staffing and budget projections.

To provide salary, leave, benefits and entitlements for the payroll system.

To provide rosters and statistics for components within the Office of Personnel responsible for administering recruitment, hospitalization, insurance, retirement, and Volunteer Investment Programs.

To provide records of employees entering on duty and employee separations and current status tapes or rosters to Agency components of concern.

To provide statements of accounts to employees.

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

Storage: Magnetic tape and disk.

Retrievability: By name, employee number, organization code or position number.

Safeguards: Tapes and disks are maintained in a special room in a vaulted area with access only by special badge. All tapes are under control of a tape librarian. Each tape has a "security" profile which the requester of the tape must match. All requests for recurring or special reports must be approved by the Chief of the Statistical Reporting Branch or his authorized designee. Data is released only as related to personnel under the requester's direct supervision and control or to individuals responsible for administering a particular Agency program. On-line query to the system is limited to personnel responsible for the maintenance, update, and preparation of input data to the system and to employees in the Statistical Reporting Branch by controlled password.

Retention and disposal: Permanent retention of subsystems currently in operation. When system is fully operational, a record schedule, including disposal, will be implemented.

System manager(s) and address:

Director, Office of Personnel
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Applicants, employees and parent Federal agency of detainee.

CIA—30.

System name: Applicant Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Persons who apply for employment with CIA.

Categories of records in the system: Personal, medical and employment history statements, educational transcripts, personal references, interview reports, test results, correspondence, photographs, review comments, and processing records.

Authority for maintenance of the system: Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

National Security Act of 1947, As Amended—Public Law 80-253.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to review applicant's qualifications for CIA position; for security background investigation; and for medical screening for determination by authorized Agency official to offer employment.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

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

Storage: Paper and microfilm.

Retrievability: By name.

Safeguards: Approved containers or area when not in use—controlled loans to authorized officials.

Retention and disposal: Applicant files placed in process for employment but subsequently cancelled are retained up to two years and destroyed by burning. Files on applicants who may be of interest at a later date are retained indefinitely.

System manager(s) and address:

Director, Office of Personnel
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Applicant.

Educational institutions.
Physicians.
Letters of Reference.
Agency officials.
Federal agencies.

CIA—31.

System name: Current Employees and Former Employees (official Personnel files and records related thereto).

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Current or former staff or contract employees and detailed military and civilian personnel, and current and former members of Advisory Groups.

Categories of records in the system: Personal and employment history statements, personnel actions, fitness reports, commendations, biographic profile, retirement status, training, emergency/casualty cases, awards, travel arrangements, medical and insurance claims, correspondence, qualification registers, photographs, and information relating to the suitability and fitness of the individual, complaints and grievances, external employment assistance, Voluntary

Investment Plans, financial and educational assistance, recreation programs, exit processing, United Givers and Savings Bond, blood donors.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Central Intelligence Agency Retirement Act of 1964 for Certain Employees, as Amended—Public Law 83-643.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To administer personnel assignments, performance evaluations, promotions, adverse actions, counseling, retirement determinations of qualifications, separations, medical or insurance claims, statistical reports, and otherwise make decisions on the rights, benefits or entitlements, and utilizations of individuals.

To prepare transcripts in response to a request from another government agency relative to employment considerations by that agency. Employment and credit verifications. To update the Agency Qualifications Record System. To refer or provide information in response to or by direction of court order or where there is an indication of a violation or potential violation of law whether civil, criminal, or regulatory in nature to the appropriate agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or rule, regulation, or order issued pursuant thereto.

To provide a data source for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related personnel management functions or manpower studies; or to locate specific individuals for personnel research or other personnel management functions.

To respond to inquiries from attorneys and insurance companies relative to litigation of an accident claim.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

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

Storage: Paper and microfilm.

Retrievability: By name.

Safeguards: Files are maintained in vaulted areas or approved metal filing cabinets; file release is on a controlled-loan basis to authorized officials.

Retention and disposal: Agency portion of the official file is destroyed by burning 75 years after birth of employee or 60 years after date of earliest document.

System manager(s) and address:

Director, Office of Personnel
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Other government agencies.

Educational institutions.
Employee.

Agency officials.

CIA—32.

System name: Consultant and Independent Contractor Records.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Consultants and independent contractors who are generally self-employed and who are engaged under contract to provide technical, management and scientific advice and services to the Agency.

Categories of records in the system: Performance evaluations, administrative documents on compensation and benefit commitments, termination agreements and correspondence, biographic data, appointment or contract data.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To administer contractual provisions—benefits, compensation, transportation, termination; performance evaluation, references, and to otherwise make decisions on the rights, benefits or entitlements and utilizations of the individual.

As a source for managerial statistical and analytical studies, and other related personnel management functions or manpower studies.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

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

Storage: Paper and microfilm.

Retrievability: By name.

Safeguards: Files are maintained in vaulted areas or approved metal filing cabinets; file release is on a controlled-loan basis to authorized officials, maintained during active employment and retained after separation in accordance with established record disposal schedules.

Retention and disposal: Retained for 75 years and then destroyed by burning.

System manager(s) and address:

Director, Office of Personnel
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505. Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individual.

Agency officials.

References as indicated by the individual.

CIA—33.

System name: Prospective Contributors for the Collection of Foreign Intelligence.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Individuals who voluntarily indicate a willingness to contribute to Foreign Intelligence.

Categories of records in the system: Psychological assessment data.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Agency officials use the psychological assessment data to assist them in reaching a decision concerning an affiliation with the Agency.

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

Storage: Paper form; converted to microfilm after two years.

Retrievability: By name.

Safeguards: Files are stored in security approved containers. Access is on a need-to-know basis.

Retention and disposal: Files are maintained for two years then microfilmed. Files are destroyed by burning after microfilming.

System manager(s) and address:

Director, Office of Technical Service
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individuals and Agency officials.

CIA-34.

System name: Clinical and Psychiatric Files (Employees).

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: CIA employees and their dependents; military and Federal civilian employees to CIA detailees and their dependents; and retired or separated employees and their dependents.

Categories of records in the system: Contains all physical examinations, laboratory data, X-rays, private physician reports, reports of on-the-job injuries and illnesses; results of psychiatric screening and testing; reports of psychiatric interviews; records of immunizations, and related medical material.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Title 5, U.S.C., Section 7901.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: By Agency personnel for evaluation of suitability for assignment, fitness-for-duty, health maintenance and in reviewing applications for medical disability retirement.

By the Civil Service Commission in the case of an employee under that system who applied for medical disability.

By the Office of Workers' Compensation Programs, Department of Labor, in the case of an employee who applies for its compensation.

To provide information to Federal agencies for employees who are being assigned or detailed to those agencies.

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

Storage: Files are maintained in paper form filed in an identifying jacket. Certain information—medical history, laboratory and assignment data—are contained on magnetic tape and punch cards. Printouts from the automated data processing are filed in the subject's medical file.

Retrievability: Access is by a file identification number which is, in turn, cross referenced to a name.

Safeguards: Files are stored in vaulted main file room. During periods when files are undergoing active processing they are secured in locked safes. Unauthorized entry into the vaulted file room is controlled via an alarm system. Access to computer information is controlled by limiting the number of medical personnel approved for such access by an identifying password. Access to the main vault file room, locked safes and the Agency Records Center is controlled by limiting the number of personnel authorized such access.

Retention and disposal: Files are retained until such time as the employee retires or separates from the Agency—at which time, they are retired to the Agency Records Center. To meet statutory requirements, they are then retained for a period of 75 years from date of birth. Destruction of records will be accomplished through burning. Magnetic tapes are degaussed.

System manager(s) and address:

Director, Office of Medical Services
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: The individual supplies his/her medical history and additional information is developed through routine medical processing.

Reports from private physicians and/or medical facilities when permission is granted by the individual concerned.

CIA-35.

System name: Clinical and Psychiatric Files (Applicants).

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Applicants for Agency Employment.

Categories of records in the system: Contains all physical examinations, laboratory data, X-rays, private physician reports, reports of previous on-the-job injuries and illnesses, results of psychiatric screening and testing, reports of psychiatric interviews, records of immunizations, and related medical material.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Title 5, U.S.C., Section 7901.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Office of Medical Services to evaluate the medical suitability of applicants for employment.

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

Storage: Paper and X-ray film.

Retrievability: By name.

Safeguards: Files are stored in vaulted main file room. During periods when files are undergoing active processing they are secured in locked safes. Unauthorized entry into the vaulted file room is controlled by an alarm system. Access to computer information is controlled by limiting the number of medical personnel approved for such access by an identifying password. Access to the main vault file room, locked safes and the Agency Record Center is controlled by limiting the number of personnel authorized such access.

Retention and disposal: Successful applicant files are converted to employee files. Files are retained until such time as the employee retires or separates from the Agency—at which time, they are then retired to the Agency Record Center. To meet statutory requirements, they are then retained for a period of 75 years from date of birth. Destruction of records is accomplished through burning. Applicant files not processed are retained for a period of two years; records are then destroyed by burning.

System manager(s) and address:

Director, Office of Medical Services
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: The individual supplies his/her medical history and additional information is developed through routine medical processing. Reports from private physicians and/or medical facilities when written permission is granted by the individual concerned.

CIA-36.

System name: Medical Facilities and Physicians.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Lists of medical facilities and names of physicians in the Metropolitan Washington area.

Categories of records in the system: Name, business address, and phone numbers of physicians and medical facilities.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Title 5, U.S.C., Section 7901.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide information to employees upon request for external medical referral.

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

Storage: Paper.

Retrievability: By name, facility, and medical specialty.

Safeguards: Maintained in locked file cabinets. Access on a need-to-know basis.

Retention and disposal: Lists are continuously maintained. When updated, old lists are destroyed by burning.

System manager(s) and address:

Director, Office of Medical Services
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules. HP Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Agency physicians and contract medical personnel.

CIA-37.

System name: Psychological Test Data Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Applicants, CIA employees and dependents, detailees and dependents, retired or separated employees and dependents.

Categories of records in the system: Results of psychological testing and assessment reports.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the case of employees, dependents and detailees, to determine the individual's skills and aptitudes and suitability for a particular assignment or training as distinct from his general suitability for employment (psychiatric screening).

Data developed to validate new tests and techniques as part of on-going research efforts.

To prepare reports which summarize test results and to assist Agency officials in selection of candidates for employment and career management planning for employees.

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

Storage: Paper, microfilm, magnetic tape and punch cards.

Retrievability: By name.

Safeguards: Medical files are stored in vaulted main file room. During periods when files are undergoing active processing they are secured in locked safes. Access to computer information is controlled by limiting the number of medical personnel approved for such access by an identifying password. Access to the main vault file room, locked safes and the Agency Records Center is controlled by limiting the number of personnel authorized such access.

Retention and disposal: Files on employees, dependents and detailees are retained in Headquarters until retirement or separation at which time they are retired to the Agency Records Center, where they are retained 30 years and then destroyed by the Records Center by burning. Successful applicants' files are treated the same as employees. Unsuccessful applicant files are retained for a period of five years and then destroyed by burning.

System manager(s) and address:

Director, Office of Medical Services
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: The individual through the completion of a variety of psychological tests and interview sessions with Agency medical officers.

CIA-38.

System name: Congressional Liaison Records.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Matters of liaison with Congressional Offices are filed in the name of the member of the Office involved.

Categories of records in the system: Liaison record.

Correspondence file.

Newspaper and publication clippings.

Authority for maintenance of the system: Section 506(a), Federal Records Act 1950, (44 U.S.C. Section 3101)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Handle requests from members and Committees.

Coordinate Agency position on proposed legislation.

Prepare Agency position papers.

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

Storage: Paper.

Retrievability: By the name of the Member of Congress.

Safeguards: All records are stored in a combination lock safe; access is restricted only to OLC personnel.

Retention and disposal: Records are screened before transfer to the secondary records holding area and any documents of a temporary nature are removed and destroyed by use of the Agency classified waste disposal system. Records are destroyed in keeping with applicable regulations except in cases where this office is the office of record, in which case they are kept for permanent retention.

System manager(s) and address:

Legislative Counsel
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Agency officials.

Offices of Members of Congress, Congressional committees and other Government agencies.

CIA-39.

System name: Publications About CIA.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Authors of publication, CIA employees, and other individuals mentioned in newspaper articles about CIA.

Categories of records in the system: Newspaper articles:

By-lined articles mentioning CIA.

Articles mentioning CIA.

Correspondence concerning arrangements for press interviews with CIA officers.

Authority for maintenance of the system: Section 506(a), Federal Records Act 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by Agency officials researching articles on the CIA.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Files are stored in a vaulted room; access upon request on a need-to-know basis.

Retention and disposal: Files are maintained for 25 years after which time they are reviewed and destroyed by burning.

System manager(s) and address:

Assistant to the Director
Office of the Director
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Newspaper articles and correspondence.

CIA-40.

System name: CIA Authors File.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: CIA employees (current and past) who have published commercially.

Categories of records in the system: Name of author and title and source of publication.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used for author display exhibit in CIA Library.

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

Storage: Manual card file.

Retrievability: By name of author.

Safeguards: Located in limited access building.

Retention and disposal: Begun about 1970; continuation will depend upon utility; no file destruction to date.

System manager(s) and address:

Director, Central Reference Service
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individual authors.

CIA-41.

System name: Intelligence in Public Literature File.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Individuals who have written on the general topic of intelligence and have been reviewed in the public media; individuals identified as being involved in intelligence activities.

Categories of records in the system: Media articles on personalities and events relating to subject of intelligence.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to provide Agency and other USIB components a ready-reference file on open literature relating to intelligence.

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

Storage: File folders and archives boxes of media articles.

Retrievability: By name of author or general topics.

Safeguards: File is open to any Agency or Intelligence Community employee on an official task; requests for access to classified portions are screened on the basis of official "need-to-know."

Retention and disposal: Articles and topics are discarded when no longer used.

System manager(s) and address:

Director, Central Reference Service
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Foreign and domestic news media; intelligence reports.

CIA-42.

System name: Library Open Literature Ready Reference File.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Individuals appearing in news media.

Categories of records in the system: Articles concerning individuals of intelligence interest.

Authority for maintenance of the system: National Security Act of 1949, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide traditional library reference service to Agency officials. It serves as an adjunct to standard published reference works and supplies information not otherwise readily available.

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

Storage: Hard copy file of media articles.

Retrievability: By subject, organization or personal name; some are retrievable by a manual or a computer index to the file.

Safeguards: Requests for information are screened for appropriateness.

Retention and disposal: Articles and categories are discarded when no longer needed.

System manager(s) and address:

Director, Central Reference Service
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Foreign and domestic news media.

CIA-43.

System name: Briefing Program File.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Those individuals, both foreign and U.S., who have visited CIA for official briefings under the CIA Briefing Program.

Categories of records in the system: Names, dates of visits, and parent organizations of visitors.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used in planning briefing programs.

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

Storage: 3 x 5 index cards.

Retrievability: By name.

Safeguards: Kept in secure area; only authorized officials have access to the file.

Retention and disposal: Retained for 5 years from date of briefing; then record is destroyed by burning.

System manager(s) and address:

Chief, Collection Guidance
and Assessments Staff
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Official correspondence from parent organizations of individuals to be briefed.

CIA-44.

System name: Foreign Map Sources Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Selected U.S. and foreign individuals and firms having a potential to provide foreign maps.

Categories of records in the system: Names, extracts from open literature, intelligence reports, records of map acquisitions.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide information in support of foreign map acquisition.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Kept in secure area; only authorized personnel have access.

Retention and disposal: Indefinite; periodically purged.

System manager(s) and address:

Director, Office of Geographic and
Cartographic Research
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individuals, intelligence reports, open literature.

CIA-45.

System name: Soviet-U.S. Contacts File.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Prominent U.S. citizens, such as members of Congress and high-ranking government officials, who have met prominent Soviets at meetings reported in the press.

Categories of records in the system: Names and titles of individuals, dates and places of meetings, subjects discussed as reported in the Soviet and U.S. press.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used to prepare briefing material for U.S. officials who plan to visit the USSR or hold discussions with Soviets in the United States.

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

Storage: Computer tapes and paper.

Retrievability: Name of Soviet or U.S. participants, date, general subject, and locations of meetings.

Safeguards: Requests for information are screened for appropriateness. Files are stored in combination locked safes.

Retention and disposal: File started in 1974 and still considered experimental; continuation will depend upon utility; no file destruction to date.

System manager(s) and address:

Director, Central Reference Service
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13).

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Soviet and U.S. press.

CIA-46.

System name: Academic Relations File.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Scholars with whom the DDI maintains contact for the purpose of exchanging research and analyses.

Categories of records in the system: Names and addresses.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Reference for correspondence; mailing of unclassified Agency publications.

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

Storage: 5 x 8 index cards.

Retrievability: By name.

Safeguards: Kept in secure area; only authorized officials have access.

Retention and disposal: Indefinite; periodically purged.

System manager(s) and address:

Coordinator for Academic Relations
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32 CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Correspondence and personal contact.

CIA-47.

System name: Professors and Placement Officers of Selected Colleges.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Those key individuals in selected colleges who may be able to assist the Office of Economic Research in its professional recruiting effort for economics analysts.

Categories of records in the system: Names and parent organizations.

Authority for maintenance of the system: Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used in Office of Economic Research recruiting program.

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

Storage: List.

Retrievability: By name.

Safeguards: Kept in secured area; only authorized officials have access.

Retention and disposal: Indefinite; periodically purged.

System manager(s) and address:

Director, Office of Economic Research
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Professional contacts established by the Office of Economic Research and Agency recruiters.

CIA-48.

System name: Cryptographic Access File.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Agency staff personnel, contract employees, and contractor employees who have been authorized access to cryptographic information.

Categories of records in the system: Biographic information including name, date of birth, social security number, and Agency component or commercial employer and date of clearance of person being granted access.

Authority for maintenance of the system: Executive Order 10450.

Public Law 81-513, dated 13 May 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Control and accountability of cryptographic access clearances.

Certify to Agency officials and to other agencies and private contractors names of individuals who possess a cryptographic clearance.

Users of this information are the Office of Security and Office of Communications.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

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

Storage: Paper and computer.

Retrievability: By name.

Safeguards: Information on paper media is stored in combination lock safes or in a secure area; access is limited to authorized employees on a need-to-know basis. Information stored on the computer system is subject to safeguards established by the Office of Security.

Retention and disposal: Paper files are retained until the clearance is rescinded. Destruction of paper records is accomplished through burning. Computer records are revised when clearance is rescinded.

System manager(s) and address:

Director, Office of Communications
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: The source of biographic information is the Office of Security or official correspondence notifying Office of Communications of a change in the individual's status.

Employee.

CIA-49.

System name: Directorate of Operations Records System.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Individuals who are of foreign intelligence or foreign counterintelligence interest to the CIA, either because of their actual, apparent, or potential association with foreign intelligence or foreign counterintelligence activities, or because they are of actual or potential use to CIA.

Categories of records in the system: Categories of records include administrative, management and policy, personality, operational, and impersonal subjects based primarily on foreign intelligence and foreign counterintelligence reports.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Immigration and Nationality Act, as Amended—Public Law 82-414.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To provide information within CIA and to selected Federal agencies and military departments for the conduct of foreign intelligence operations.

To provide information within CIA and to the FBI, other selected Federal agencies, and military departments for the conduct of foreign counterintelligence operations.

To conduct national Agency name checks for other agencies as required by National Security Council Directive and the Immigration and Nationality Act of 1952 in the interest of the security of the United States.

To provide information to the Immigration and Naturalization Service.

A record from this system of records may be disclosed as a "routine use" to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

To provide information to U.S. and, through established liaison channels, selected foreign government agencies in national security or criminal cases.

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

Storage: Paper, microforms, and magnetic media.

Retrievability: By name.

Safeguards: Strict controls have been imposed to minimize the risk of compromising information held. Employees are allowed access to the index and files only after undergoing special training. There are degrees of compartmentation which are designed to limit access to information on a strict "need-to-know" basis. Records are kept of each disclosure of a record to another agency as required by this act.

Retention and disposal: Retention is based on approved records disposition schedules. Destruction is by pulping, degaussing, or burning.

System manager(s) and address:

Chief, Services Staff, DDO
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Other U.S. agencies and organizations.
Foreign sources and individuals.
Predecessor organizations.
Overt publications.
Private citizens.
State and local agencies.

CIA-50.

System name: Financial Records.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Staff, contract personnel, consultants and independent contractors.

Categories of records in the system: Records required to administer compensation payments, payments to CIA Retirement System (CIARDS) annuitants, authorized or required payroll deductions or contributions for Federal, state and city income tax, retirement, insurance, Credit Union, etc., and leave entitlements. Personnel actions, contracts, W-4s, W-2s, withholding authorizations, banking instructions for dissemination of employees' salary checks.

Official travel orders, record of funds advanced and transportation furnished, copies of travel claims and accountings.

Records and statements concerning the status of funds advanced to individuals for official purposes.

Correspondence and copies of all financial documentation accumulated in the collection and settlement of amounts due the Agency from former employees.

Financial accounts and records concerning employees' former employees' participation in the Voluntary Investment Plan. Membership application, payroll deduction authorization, quarterly status statement, funds withdrawal requests.

Certifying officers; contracting officers; and authorizing letter and signature card.

Authority for maintenance of the system: Central Intelligence Agency Retirement Act of 1964 for Certain Employees, as Amended—Public Law 88-643.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by CIA personnel to fulfill statutory requirements with regard to the computation, payment, and recording of compensation due Agency personnel and annuities due to CIARDS annuitants and to report Federal, state, and local taxing authorities tax information as required by law; used by CIA officials to report and remit to appropriate Federal, state, and local agencies tax withholdings, individual and CIA contributions for retirement, life and health insurance programs, and other deductions as required or authorized by the individual.

Used by CIA personnel concerned with the administration, processing, audit and certification of travel and transportation accounts.

Used by CIA personnel as an administrative control to ensure that official funds advanced to individuals are properly and fully accounted for.

Used by CIA personnel to pursue and document efforts made to collect amounts due the Agency from former Agency personnel.

Used by CIA personnel in the financial administration of the Voluntary Investment Plan and to inform participants of their equity in the Plan.

Used within CIA by Agency personnel charged with responsibility for determining that the commitment and expenditure of Agency funds is authorized, approved, and certified by officials to whom such authority has been delegated.

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

Storage: Paper, punch cards, microfilm, magnetic tape and disks.

Retrievability: By name, employee number, and component of assignment.

Safeguards: Records are located in either vaulted, limited access areas or in combination lock safes. Access to the records is strictly limited to Agency personnel who either work with the records or have an official need for the information.

Retention and disposal: Method of disposal is by burning, degaussing or shredding, whichever is the most appropriate for the particular medium in which the record is maintained. Records are retained in accordance with established record disposal schedules.

System manager(s) and address:

Director, Office of Finance
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Individuals and Agency officials.

CIA-51.

System name: Security Duty Office Event Reports.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Individuals who contact the Security Duty Office.

Categories of records in the system: Name, date and subject matter of contact by individual.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Brief senior Security Officers concerning contacts made by individuals and events involving the Agency and Agency facilities.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Records are maintained in office which is manned on a 24-hour basis. Information is disclosed to Agency officials on a need-to-know basis.

Retention and disposal: Records are maintained only for time period when subject is of interest to the Agency. Records are destroyed by burning.

System manager(s) and address:

Director, Office of Security
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: General public, employees and Federal, state and local officials.

CIA-52.

System name: Special Clearance System.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Federal, civilian and military personnel and representatives from private industry who possess special access clearances.

Categories of records in the system: Name, date of birth, social security number, date of background investigation, organization, and clearances held.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To certify throughout the Intelligence Community and related industry the individuals whose names are contained in this Special Register for purposes of controlling access to special classified materials.

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

Storage: Cards, computer tapes and paper.

Retrievability: By name, social security number, and organization.

Safeguards: The records are stored in a secure area. Access to the storage area is restricted to those who have the proper clearances and have a need-to-know.

Retention and disposal: The records are kept as long as an individual possesses special access clearances. Records are destroyed when individual is debriefed of special clearance(s). Paper records are burned; magnetic tapes are degaussed.

System manager(s) and address:

Director, Office of Security
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Agency personnel, and other Federal agencies, and private industry.

CIA-53.

System name: Liaison Contact Files.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Federal civilian and military personnel with whom various Agency personnel conduct liaison.

Categories of records in the system: Individual's name, date of birth, and level of clearance held.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Certification to Agency officials the level of clearance held by the individual at his parent organization or level of approval of liaison clearance.

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

Storage: Paper.

Retrievability: By name.

Safeguards: The records are stored in a secure area. Access to the area is restricted to authorized Office of Security employees.

Retention and disposal: The records are kept for three years and then destroyed by burning, except when there is a documented request to continue the liaison.

System manager(s) and address:

Director, Office of Security
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Federal civilian and military departments.

CIA-54.

System name: Central Badge System.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Agency employees and individuals who required building access badges.

Categories of records in the system: Name, date and place of birth, social security number, photographs and fingerprints.

Authority for maintenance of the system: Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

National Security Act of 1947, as Amended—Public Law 80-253.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by the Office of Security to identify and control access to Agency facilities.

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

Storage: Paper, photographs and magnetic media.

Retrievability: Name and badge number.

Safeguards: Records are maintained in vault. Access is limited to individuals on need-to-know basis.

Retention and disposal: Retained for duration of employment or association with the Agency. Records are destroyed by burning two years after resignation or termination of the association.

System manager(s) and address:

Director, Office of Security
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employee records and/or the individual requesting identification badge.

CIA-55.

System name: Occupational Accident Report Records.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Agency employees and other individuals associated with the Agency who have completed an accident report form.

Categories of records in the system: Name, organizational affiliation, age, and report of accident and investigative report.

Authority for maintenance of the system: Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Section 19(a), Occupational Safety and Health Act of 1970—Public Law 91-596.

Executive Order 11807.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To determine accident causes and recommend remedial actions.

To prepare briefings on Agency accident experience.

To prepare quarterly and annual statistic reports for the Department of Labor.

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

Storage: Paper.

Retrievability: By name.

Safeguards: Records are stored in a secure area approved for material up through Secret.

Retention and disposal: Retain for five years and then destroy by burning.

System manager(s) and address:

Director, Office of Security
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employees and Agency affiliated personnel.

CIA-56.

System name: Security Analysis Records.

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Any individual who comes to the attention of the Agency because of a counterintelligence interest that concerns Agency personnel or Agency security.

Categories of records in the system: Biographic information and data concerning an individual's involvement in specific intelligence and counterintelligence activities.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Inform Agency officials of potential or actual CI information involving Agency personnel or facilities.

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

Storage: Paper.

Retrievability: By name.

Safeguards: All records are maintained in a vaulted area. Access is limited on a need-to-know basis.

Retention and disposal: Permanent retention.

System manager(s) and address:

Director, Office of Security
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Employees.

U.S. Government agencies.

Foreign intelligence sources.

CIA-57.

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

System location:

Central Intelligence Agency
Washington, D.C. 20505.

Categories of individuals covered by the system: Applicants, staff and contract employees, former employees, consultants, contractors, military detailees, individuals of security interest, persons of substantive affiliation with or service to the Agency, and persons on whom the Agency has conducted an investigation.

Categories of records in the system: Investigation requests.

Biographical data (name, sex, D/POB, social security number, and employer and employee address at time record was created).

Authorizations for the release of high school and college transcripts and copies of those transcripts.

Investigative reports.

Appraisal summaries reflecting the rationale for granting or refusing a security clearance.

Documentation of the final action taken by the Office of Security concerning any given investigation.

Secrecy agreements.

Documentation of subsequent actions such as the granting or re?using of special clearances, approvals for assignment overseas, notations that polygraph or other special interviews were performed, notices of transfers and changes in assignments; memoranda concerning security violations; notices of termination of affiliation with the Agency.

Authority for maintenance of the system: National Security Act of 1947, as Amended—Public Law 80-253.

Central Intelligence Agency Act of 1949, as Amended—Public Law 81-110.

Section 506(a), Federal Records Act of 1950 (44 U.S.C., Section 3101).

Executive Order 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: The system is used to ascertain whether there is any existing information concerning a person who is of immediate interest to the CIA. The system is routinely used when:

a person applies for CIA employment;

a person is a candidate or associated with a candidate for some project or assignment;

a question arises as to whether a certain individual has been security approved, or considered for security approval by the CIA;

there is a need to obtain the security file of an individual who is known (or assumed) to be the subject of a file; and

CIA receives a request for investigative information from another Federal agency.

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

Storage: Paper, microfilm, computer disks and magnetic tapes.

Retrievability: By name.

Safeguards: Records are safeguarded by combination lock security containers, or are stored within a vaulted area. Access is restricted to individuals who are certified on an "Access List." The Access List is validated each month and published so that responsible officials can insure that records are accessed only for official purposes.

Retention and disposal: Files which contain Agency-developed investigative reports on an individual are retained permanently.

System manager(s) and address:

Director, Office of Security
Central Intelligence Agency
Washington, D.C. 20505.

Notification procedure: Individuals seeking to learn if this system of records contains information about them should direct their inquiries to:

Privacy Act Coordinator
Central Intelligence Agency
Washington, D.C. 20505.

Identification requirements are specified in the CIA rules published in the Federal Register (32CFR 1901.13). Individuals must comply with these rules.

Record access procedures: Request from individuals should be addressed as indicated in the notification section above.

Contesting record procedures: The Central Intelligence Agency's regulations for access to individual records, for disputing the contents thereof, and for appealing an initial determination by CIA concerning access to or correction of records, are promulgated in the CIA rules section of the Federal Register.

Record source categories: Current and former employees, consultants, contractors, contract employees, military detailees, applicants for employment, persons of substantive affiliation with or service to the Agency, Federal, state and local agencies, educational institutions, employers, personal and business references provided by the individual under investigation and acquaintances of the individual.

[FR Doc.75-22626 Filed 8-27-75;8:45 am]