

for Health Services Research; Office of Health Research, Statistics and Technology; Center Building, Room 7-41; 3700 East-West Highway; Hyattsville, Maryland 20782.

NOTIFICATION PROCEDURE:

To determine if a record exists, write to the System Manager at the above address.

RECORD ACCESS PROCEDURE:

Same as notification procedures. Requesters should also reasonably

specify the record contents being sought. Positive identification is required, except that no verification of identity shall be required where the record is one which is required to be disclosed under the Freedom of Information Act.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under System Manager above, and reasonably identify the record, specify the information being contested,

and state the corrective action sought, with supporting justification.

RECORD SOURCE CATEGORIES:

Applications, reports and correspondence from the research community, and statements from grant review committees.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

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DEPARTMENT OF HEALTH AND HUMAN SERVICES

Health Care Financing Administration

Privacy Act of 1974; Systems of Records: Annual Publication

AGENCY: Health Care Financing Administration (HCFA), HHS.

ACTION: Annual Republication of Notices of Systems of Records.

SUMMARY: In accordance with 5 U.S.C. 552(e)(4), we are publishing notices of systems of records which HCFA maintains. The notices are complete as of August 10, 1982 and do not contain any new routine uses or new material which would require a report to Congress and the Office of Management and Budget as described in OMB Circular A-106. The notices do, however, contain editorial and general clarifying changes which make them accurate and complete. If any errors appear in this publication, we will publish corrections in a later issue of the Federal Register.

SUPPLEMENTARY INFORMATION: To assist the reader of our annual publication, we list a summary of major modifications to the HCFA notices of systems of records. This summary includes deletions and other changes which we have not yet published in the Federal Register. It does not include changes which have already been described in notices previously published in the Federal Register. HCFA additions and changes are as follows:

1. Notices of three systems of records have been added that were issued after the 1981 republication of the Federal Register, October 27, 1981 (46 FR 52674-52721). They are:

a. System 09-70-0026, Study of the Comparative Effectiveness of State Approaches to Regulation of Medicare Supplemental Policies: Medigap, published in the Federal Register on September 2, 1981 (46 FR 44060-44061).

b. System 09-70-0027, Evaluation of Health Maintenance Organization Capitation Demonstration, published in the Federal Register on February 16, 1982 (47 FR 6718-6719).

c. System 09-70-0028, Study of the Social, Ethical and Economic Consequences of Medicare Coverage for Heart Transplants, published in the Federal Register on April 26, 1982 (47 FR 17862-17863).

2. Notice of an alteration to system 09-70-0502, Health Insurance Master Record, was published in the Federal Register on December 24, 1981 (46 FR 62543-62545).

3. We have revised the notices of systems of records below to include new

statements of routine use which were published and adopted earlier this year.

a. System 09-70-0501, Carrier Medicare Claims Records, Federal Register, August 4, 1982 (47 FR 33788-33789).

b. System 09-70-0502, Health Insurance Master Record, Federal Register, August 4, 1982 (47 FR 33788-33792).

c. System 09-70-0503, Intermediary Medicare Claims Records, Federal Register, August 4, 1982 (47 FR 33792-33796).

Dated: September 13, 1982.

Carolyne K. Davis,
Administrator.

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- 09-70-0019 Actuarial Sample Hospital Stay Record Study, HHS/HCFA/BDMS
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- 09-70-0026 Study of the Comparative Effectiveness of State Approaches to Regulation of Medicare Supplemental Policies: Medigap, HHS/HCFA/ORD
- 09-70-0027 Evaluation of Health Maintenance Organization Capitation Demonstration, HHS/HCFA/ORD
- 09-70-0028 Study of the Social, Ethical and Economic Consequences of Medicare Coverage for Heart Transplants, HHS/HCFA/ORD
- 09-70-0501 Carrier Medicare Claims Records, HHS/HCFA/BPO
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- 09-70-0504 Beneficiary Parts A and B Uncollectible Overpayment File, HHS/HCFA/BPO
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Program Validation Case Files, HHS/
HCFA/BQC

09-70-0001

SYSTEM NAME:

Medicare Second Surgical Opinion
Experiments, HHS/HCFA/ORD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Blue Cross and Blue Shield of Greater
New York, 622 Third Avenue, New York,
N.Y. 10017, and 3 Park Avenue, New
York, N.Y. 10016, and Blue Cross and
Blue Shield of Michigan, 600 Lafayette
East, Detroit, Mich. 48226; and Abt
Associates, Inc., 55 Wheeler Street,
Cambridge, Mass. 02138.

**CATEGORIES OF INDIVIDUALS COVERED BY THE
SYSTEM:**

Physicians who practice, and
Medicare beneficiaries who reside in the
carrier area of Blue Cross and Blue
Shield of Greater New York (plus
Queens) or in Macomb, Oakland, or
Wayne Counties for which the Medicare
carrier is Blue Cross and Blue Shield of
Michigan.

Physicians who practice, and
Medicaid recipients who reside in the
States of Massachusetts and
Connecticut or Vermont. Persons
contacting National Second Surgical
Opinion Program (NSSOP) listholders.

CATEGORIES OF RECORDS IN THE SYSTEM:

Physicians: personal identification
and demographic data, attitudes toward
second opinion programs, clinical
details and prognosis of patients who
have sought second opinions, estimates
of the use of second opinions by their
patients.

Beneficiaries: personal identification
demographic data, and health status
information pertinent to advisability of
patient undergoing elective surgery,
surgical recommendations/discussions,
treatment received, patient health
attitudes, awareness of second opinion
programs, satisfaction with second
opinion programs.

**AUTHORITY FOR MAINTENANCE OF THE
SYSTEM:**

Section 402 of the Social Security
Amendments of 1967, Pub. L. 90-248, as
amended by Section 222(b) of the Social
Security Amendments of 1972, Pub. L.
92-603, 42 U.S.C. 1395b-1.

PURPOSE(S):

To provide data necessary to operate
second opinion referral centers and to
determine the impact of second opinion
programs on Medicare costs, surgery

rates, consumer and provider decision-
making regarding surgery, and quality of
care.

**ROUTINE USES OF RECORDS MAINTAINED IN
THE SYSTEM, INCLUDING CATEGORIES OF
USERS AND THE PURPOSES OF SUCH USES:**

(1) Blue Cross and Blue Shield of
Greater New York and Blue Cross and
Blue Shield of Michigan used the data
to: (a) operate referral centers to help
eligible Medicare beneficiaries locate
consultants and obtain second/third
opinions, (b) collect information
necessary to conduct referral operations
and evaluate the impact of the program,
and (c) modify claims processing
systems to permit waiver of co-payment
and deductible requirements under Part
B of Medicare on all second/third
surgical opinion claims (i.e., physician
and ancillary service costs). The Office
of Research and Demonstrations (ORD),
HCFA, will use the information to
coordinate all data collection,
reimbursement, and evaluation
activities. HCFA has contracted with an
independent third party (Abt
Associates) which will use data in the
system to evaluate the impact of the
second surgical opinion programs.

(2) Disclosure may be made to a
congressional office from the record of
an individual in response to an inquiry
from the congressional office made at
the request of that individual.

(3) In event of litigation where the
defendant is: (a) the Department, any
component of the Department, or any
employee of the Department in his or
her official capacity; (b) the United
States where the Department determines
that the claim, if successful, is likely to
directly affect the operations of the
Department or any of its components; or
(c) any Department employee in his or
her individual capacity where the
Justice Department has agreed to
represent such employee, the
Department may disclose such records
as it deems desirable or necessary to the
Department of Justice to enable that
Department to present an effective
defense provided such disclosure is
compatible with the purpose for which
the records were collected.

**POLICIES AND PRACTICES FOR STORING,
RETRIEVING, ACCESSING, RETAINING, AND
DISPOSING OF RECORDS IN THE SYSTEM:**

STORAGE:

Hardcopy intake forms, first opinion
physician/surgeon reports and
consultants' reports will be stored in
locked metal file cabinets in the referral
centers established within the
contractors' carrier offices. Completed
data tapes created from hardcopy forms
will be stored in the tape libraries

maintained by the contractors for
storage of routine Medicare claims tapes
and subject to the same security
precautions.

RETRIEVABILITY:

Hardcopy stored in referral centers
will be retrievable by beneficiary name.
Beneficiary information stored on tape
will be retrievable by beneficiary name
and health insurance claim number;
provider information stored on tape will
be retrievable by physician name and
provider number.

Where applicable, the evaluation
contractor will merge the systems
records created by survey sampling
activities with systems records already
covered by this systems notice. The
systems records created by survey
activity are temporary in nature, and
patient and physician identifiers will not
be retained.

SAFEGUARDS:

All records will be retained in secure
storage areas accessible only to
authorized employees of Blue Cross and
Blue Shield of Greater New York, Blue
Cross and Blue Shield of Michigan, and
the evaluation contractor staff. All
employees having access to records
have been notified of criminal sanctions
for unauthorized disclosure of
information on individuals. After the
hardcopy and tapes are validated and
analyzed by the evaluation contractor,
they will be returned to HCFA.

For computerized records, where
appropriate, ADP systems security
procedures will be instituted with
reference to guidelines contained in the
DHHS ADP Systems Manual, Part 6,
"ADP Systems Security," (e.g., use of
password access). By taking all the
aforementioned precautions, HCFA has
reduced the risk of unauthorized access
to a minimum.

RETENTION AND DISPOSAL:

Hardcopy data collection forms and
magnetic data tapes with identifiers will
be retained in secure storage areas. The
disposal technique of degaussing will be
used to strip magnetic tape of all
identifying names and numbers in
December 1987. Hardcopy will be
destroyed at this time.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and
Demonstrations, Health Care Financing
Administration, Room 4228, HHS
Building, 330 Independence Avenue
S.W., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

Any physician or Medicare
beneficiary who participates in this

demonstration as a provider or recipient of service may request his or her data record in writing. This request should be addressed to the system manager. To obtain data on physicians, the requestor should provide the name and business address of the physician; to obtain data on a Medicare beneficiary, the requestor should provide the beneficiary's name and home address.

RECORD ACCESS PROCEDURES:

Same as notification procedure. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with Department regulations (45 CFR 5b.5(a)(2)).

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. These procedures are in accordance with Department Regulations (45 CFR 5b.7).

RECORD SOURCE CATEGORIES:

Referral Center Intake Forms completed by a referral center analyst upon receiving a call from a Medicare beneficiary requesting a second opinion under the demonstrations. First Opinion Physician/Surgeon Report Forms completed by the first opinion physician in the Blue Cross and Blue Shield of Michigan demonstration and by the first surgeon in the Blue Cross and Blue Shield of Greater New York demonstration. The consultant's report completed by second/third opinion consultants who participated in the demonstrations.

NSSOP Patient Intake Log to be completed by NSSOP listholders. NSSOP Intake Log Patient Followup Questionnaire completed by the evaluation contractor through telephone survey. Telephone Questionnaire of Medicare recipients in Connecticut or Vermont completed by the evaluation contractor. Patient Interview of Medicare beneficiaries in New York and Medicaid recipients in Massachusetts and Connecticut or Vermont completed by the evaluation contractor.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0004

SYSTEM NAME:

Durable Medical Experiment, HHS, HCFA, ORD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing Administration, Office of Research and Demonstrations, Office of Demonstrations and Evaluation, Room 1-E-6, Oak Meadows Building, Baltimore, Maryland 21235.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Medicare beneficiaries acquiring durable medical equipment (DME) under Title XVIII of the Social Security Act in the following States or portions thereof during the course of the experiment: California, Florida, Idaho, Minnesota, Mississippi, New Mexico, New York, Tennessee, Virginia, Washington, and Wyoming.

CATEGORIES OF RECORDS IN THE SYSTEM:

Administrative, billing, and descriptive information involving the purchase and/or rental of durable medical equipment under Title XVIII (Medicare Part B).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 245 of Pub. L. 92-603 (Social Security Amendments of 1972).

PURPOSE(S):

In accordance with section 245 of Pub. L. 92-603, the Secretary of HHS was authorized to conduct experimentation involving payments for durable medical equipment. These data were collected for statistical purposes in analyzing the results of the experimental program.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) Routine disclosure of the records maintained in the system was made to an organization under contract with the Health Care Financing Administration for the performance of the research and statistical functions as prescribed by the contract. The data collected was utilized by the Contractor for statistical purposes in determining the results of the experimental program. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual. (3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department

or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Magnetic computer tape.

RETRIEVABILITY:

All records are indexed by health insurance claim number and by Medicare carrier code number.

SAFEGUARDS:

Magnetic computer tapes are kept in GSA approved containers with combination locks. The containers are located in a controlled access area where all nonemployees and nonauthorized personnel must identify themselves, state the nature of their business, and be logged in before gaining entry. All personnel are subject to the penalties prescribed by the Privacy Act for unauthorized disclosure of personnel data. These safeguards are in accordance with Departmental standards limiting access to authorized personnel only.

RETENTION AND DISPOSAL:

All raw data, draft reports, correspondence, and reports generated during this experiment (including tapes, computer programs, position indices, etc.) are the property of the Government.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and Demonstrations, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue SW., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

For purposes of notification, provide the Systems Manager with the name, address, and Health Insurance Account Number of the person requesting access.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Departmental Regulations (45 CFR 5b.5(a)(2)).

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Departmental Regulations (45 CFR 5b.7)).

RECORD SOURCE CATEGORIES:

Requests from Medicare Part B Beneficiaries for reimbursement for the rental/purchase of durable medical equipment under title XVIII of the Social Security Act, including charges and descriptive material from suppliers of durable medical equipment; administrative and billing information for the reimbursement of durable medical equipment from Part B Medicare Carriers.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0005

SYSTEM NAME:

Medicare Bill File (Statistics) HHS, HCFA, BDMS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Systems Operations, OS, SSA, 6401 Security Boulevard, Baltimore, Maryland 21235.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Persons enrolled in hospital insurance or supplemental medical benefits parts of the Medicare program.

CATEGORIES OF RECORDS IN THE SYSTEM:

Bill data; demographic data on the beneficiary, diagnosis and surgery codes on a sampling of the population; provider characteristics.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act (42 U.S.C. 1395f).

PURPOSE(S):

To study the operation and effectiveness of the Medicare program.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(2) To the Bureau of Census for use in processing research and statistical data directly related to the administration of Social Security programs.

(3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(4) To an individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form.

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

c. Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) Make no further use or disclosure of the record except:

(a) In emergency circumstances affecting the health or safety of any individual,

(b) For use in another research project, under these same conditions, and with written authorization of HCFA.

(c) For disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) When required by law;

d. Secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.**STORAGE:**

All records are stored on magnetic tape.

RETRIEVABILITY:

All records are indexed by health insurance claim number and by hospital provider number.

SAFEGUARDS:

For computerized records, safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g., security codes) will be used, limiting access to authorized personnel.

RETENTION AND DISPOSAL:

Records are maintained with identifiers as long as needed for program research.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Bureau of Data Management and Strategy, Room 2424, Oak Meadows Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

For purpose of access, write the systems manager, who will require name of system, health insurance claim number and for verification purposes, name (women's maiden name, if applicable), social security number, address, date of birth and sex; and to ascertain whether the individual's record is in the system, utilization and date of utilization under Part A or Part B of Medicare services, home health agency, hospital (inpatient), hospital (outpatient) or skilled nursing facility.

RECORD ACCESS PROCEDURES.

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in

accordance with the Department Regulations (45 CFR 5b.5(a)(2).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Medicare enrollment records; Medicare bill records; Medicare provider records for a sample of persons treated as hospital patients (inpatient and outpatient) and skilled nursing facility patients.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0006

SYSTEM NAME:

Medicare Enrollment Records (Statistics) HHS, HCFA, BDMS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Systems Operations, OS, SSA, 6401 Security Boulevard, Baltimore, Maryland 21235.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All persons enrolled for hospital or supplemental medical benefits under the Medicare program, including enrollees for whom the State has paid the premiums and enrollees who are members of direct dealing group practice prepayment plans.

CATEGORIES OF RECORDS IN THE SYSTEM:

Enrollment characteristics of the beneficiaries; demographic characteristics.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act (42 U.S.C. 1395f).

PURPOSE(S):

To study the characteristics of persons enrolled in the Medicare program and establish the basis for Medicare services utilization rates.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) to a congressional office from the record of an individual in response to an inquiry

from the congressional office made at the request of that individual.

(2) To the Bureau of Census for use in processing research and statistical data directly related to the administration of Social Security programs.

(3) To an individual or organization for a research, evaluation or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form.

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

c. Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information and

(3) Make no further use or disclosure of the record except:

(a) In emergency circumstances affecting the health or safety of any individual,

(b) For use in another research project, under these same conditions, and with written authorization of HCFA,

(c) For disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) When required by law;

d. Secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

(4) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any

employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

All records are stored on magnetic tape.

RETRIEVABILITY:

All records are accessible by claim number. Subfiles are indexed also by group practice pre-payment plan number or by State buy-in number.

SAFEGUARDS:

For computerized records, safeguards established in accordance with guidelines in the DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g. security codes) will be used, limiting access to authorized personnel.

RETENTION AND DISPOSAL:

Records are retained with identifiers as long as needed for program research analysis.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Bureau of Data Management and Strategy, Health Care Financing Administration, Room 2424, Oak Meadows Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

For purposes of access, write to the systems manager, who will require name of system, health insurance claim number, social security number, and for verification purposes, name (woman's maiden name, if applicable); address, date of birth and sex, and to ascertain whether the individual's record is in the system, enrollment in Medicare health or supplemental medical participation in a direct dealing group practice prepayment plan, or payment of premium by State.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Master beneficiary record: Medicare enrollment records.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.
09-70-0007

SYSTEM NAME:

Health Insurance Enrollment Statistics, General Enrollment Period. HHS, HCFA, BDMS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Systems Operations, OS, SSA, 6401 Security Boulevard, Baltimore, Maryland 21235.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All persons who are eligible for Supplementary Medical Insurance coverage but have declined such coverage.

CATEGORIES OF RECORDS IN THE SYSTEM:

Limited demographic data (sex, date of birth, State and county of residence).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of Title XVIII of the Social Security Act (42 U.S.C. 1395f).

PURPOSE(S):

To contact persons eligible for Part B benefits who have refused or withdrawn coverage of these benefits, for purposes of reenrollment for Part B coverage and to evaluate results of such contacts.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at

the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

All records are stored on magnetic tape.

RETRIEVABILITY:

All records are indexed by health insurance claim number.

SAFEGUARDS:

For computerized records, safeguards established in accordance with guidelines in DHHS ADP Systems Manual, Part 6, "ADP Systems Security." (e.g., security codes) will be used, limiting access to authorized personnel.

RETENTION AND DISPOSAL:

Tapes are retained with identifiers as long as needed for program research.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Bureau of Data Management and Strategy, Health Care Financing Administration, Room 2424, Oak Meadows Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

For purposes of access, write to the Systems Manager who will require system name and social security number and for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR, 5b.7).)

RECORD SOURCE CATEGORIES:

Health Insurance Master Beneficiary File.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0008

SYSTEM NAME:

Supplementary Medical Sample Bill Summary File of Medicare Utilization (Statistics) HHS, HCFA, BDMS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Systems Operations, OS, SSA 6401 Security Boulevard, Baltimore, Maryland 21235.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

A 5 percent sample of Medicare beneficiaries who have received any supplementary medical (Medicare) services January 1, 1975, or later.

CATEGORIES OF RECORDS IN THE SYSTEM:

Physician and supplier billing information.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act (42 U.S.C. 1395f).

PURPOSE(S):

To study the effectiveness of the Supplementary Medical Insurance Medicare benefit.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) to a Congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department

or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(3) To an individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

c. Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) Make no further use or disclosure of the record except:

(a) In emergency circumstances affecting the health or safety of any individual,

(b) For use in another research project, under these same conditions, and with written authorization of HCFA,

(c) For disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) When required by law;

d. Secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

All records are stored on magnetic tape.

RETRIEVABILITY:

All records are indexed by claim number.

SAFEGUARDS:

For computerized records, safeguards are established in accordance with guidelines in DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g. security codes) will be used, limiting access to authorized personnel.

RETENTION AND DISPOSAL:

Records are retained with identifiers as long as needed for purposes of program research.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Bureau of Data Management and Strategy, Health Care Financing Administration, Room 2424, Oak Meadows Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

For purposes of access, write the systems manager, who will require name of system, health insurance claim number and for verification purposes, name (woman's maiden name, if applicable), social security number, address, date of birth and sex; and to ascertain whether the individual's record is in the system, date (month and year) on which supplementary medical services were received.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with the Department Regulations (45 CFR 5b.5(a)(2).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR, 5b.7).)

RECORD SOURCE CATEGORIES:

Medicare claims submitted to carriers.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT.

None.

09-70-0010

SYSTEM NAME:

Current Medicare Survey (Statistics) HHS, HCFA, ORD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Systems Operations, OS, SSA, 6401 Security Boulevard, Baltimore, Maryland 21235.

Office of Research, ORD, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207.

Wilkes Barre Punching Branch, Social Security Administration, VA Building, 19 N. Main Street, Wilkes Barre, Pennsylvania 18701.

and

Bureau of Census, Washington, D.C., Federal Records Centers

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Sample of aged (since 1966) and disability (since 1971) beneficiaries entitled to Medicare, and interview status.

CATEGORIES OF RECORDS IN THE SYSTEM:

Demographic characteristics; health services (types and costs) used by Medicare beneficiaries, and interview status.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act (42 U.S.C. 1395l/).

PURPOSE(S):

To determine the use of health care services by Medicare beneficiaries, for program planning, and publication of nationally distributed reports.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosures from this system are made: (1) To the Bureau of the Census when it performs as a collecting agent or data processor for research and statistical purposes directly relating to the Social Security Act. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department

or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

All records are stored on magnetic tape and disk files. Hard copies of the interview forms through 1973 are on microfilm. For subsequent years, hard copies of the interview forms are stored at Federal Records Centers. Interview status check-in cards for 1975-77 and tape disk files are also stored there. Magnetic tapes are in secured storage at SSA. Check-in cards and microfilms are in secured file cabinets at HCFA.

RETRIEVABILITY

All interview records are identified by health insurance claim number.

SAFEGUARDS:

Initial collection and processing performed by the Census Bureau. For computerized records safeguards are established in accordance with guidelines in DHHS ADP Systems Manual, Part 6, "ADP Systems Security." (e.g. security codes) will be used, limiting access to authorized personnel.

RETENTION AND DISPOSAL:

Through 1974, hard copy was routinely destroyed six months after the record was placed on microfilm. Starting with 1975, hard copy will be retained for 3 years, and upon receipt of the fourth year data, the earliest year will be destroyed. Computer and card records and interview status check-in cards and tapes are maintained with identifiers as long as needed for purposes of program research. All records are reviewed annually for continued program need.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and Demonstrations, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

For purposes of access, write the systems manager who will require name of system, health insurance claim number and for verification purposes name (woman's maiden name, if

applicable), social security number, address, date of birth and sex, and to ascertain whether the individual's record is in the system, type of social security benefit (old age or disability) received.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Medicare beneficiary records; survey type data collected by Census Bureau for the Social Security Administration.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0011

SYSTEM NAME:

Evaluation of the Impact of Surgical Screening Based Upon Union Member Utilization of the Pre-Surgical Consultant Benefit (Statistics) HHS. HCFA, ORD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Cornell University Medical College, 1300 York Avenue, New York, New York 10021.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Sample of those members of five unions in the Greater New York and Northern New Jersey who have used the pre-surgical consultation benefit in their union health contract.

CATEGORIES OF RECORDS IN THE SYSTEM:

Demographic characteristics, medical diagnosis and surgical procedures, physician sociological characteristics, health insurance coverage, health status.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act (42 U.S.C. 1395f).

PURPOSE(S):

To determine the effect of providing for pre-surgical consultations and the effect of those consultations on decisions to undergo surgery.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) Disclosures from this system are made to contractors for research and statistical activities directed by the Health Care Financing Administration. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Paper files.

RETRIEVABILITY:

Records filed in alphabetical order.

SAFEGUARDS:

Safeguards are provided by contract, identifiable data are accessible only to the contractor and members of his or her staff.

RETENTION AND DISPOSAL:

Records will be retained with identifiers by the contractors only as long as is needed for purposes of program research and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and Demonstrations, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, DC 20201.

NOTIFICATION PROCEDURE:

For purposes of access, write the Systems Manager who will require name of system, health insurance claim number, and, for verification purposes, name (woman's maiden name, if applicable), address, date of birth and sex, and to ascertain whether the individual's record is in the system, the name of the union of which he or she is a member.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR, 5b.7).)

RECORD SOURCE CATEGORIES:

Union records retained by each union in the survey area.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0013

SYSTEM NAME:

Annual 5 percent Summary File of Services Reimbursed Under the Medicare Program (Statistics) HHS, HCFA, BDMS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Systems Operations, OS, SSA 6401 Security Boulevard, Baltimore, Maryland 21235.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Sample of Medicare enrollees with reimbursed services prior to January 1, 1975.

CATEGORIES OF RECORDS IN THE SYSTEM:

Demographic characteristics; amount of reimbursement by type of service.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act (42 U.S.C. 1395f).

PURPOSE(S):

To study the characteristics of persons receiving Medicare reimbursed services and the types of services they received.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

All records are stored on magnetic tape.

RETRIEVABILITY:

All records are indexed by claim number.

SAFEGUARD:

For computerized records, safeguards are established in accordance with guidelines in DHHS ADP Systems Manual Part 6, "ADP Systems Security," (e.g. security codes) will be used, limiting access to authorized personnel.

RETENTION AND DISPOSAL:

Records are retained with identifiers as long as needed for purposes of program research.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Bureau of Data Management and Strategy, Health Care Financing Administration, Room 2424, Oak Meadows Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

For purposes of access, write the systems manager who will require name of system, health insurance claim

number, and for verification purposes, name (woman's maiden name if applicable), address, social security number, date of birth and sex, and to ascertain whether the individual's record is in the system, whether any reimbursable services prior to 1974 or 1975 and the date (month and year) of such services.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, 5b.5(a)(2).)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR, 5b.7).)

RECORD SOURCE CATEGORIES:

Medicare enrollment records; Medicare bill records.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0014

SYSTEM NAME:

Survey of Physicians' Administrative and Practice Costs and Medicaid Participation HHS, HCFA, ORD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Abt Associates, 55 Wheeler Street, Cambridge, Mass. 02138.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

A national and regional sample of 2000 office-based physicians.

CATEGORIES OF RECORDS IN THE SYSTEM:

Education, professional background, age, and demographic information about physicians, to be merged with administrative and practice cost data, practice characteristics in terms of specialty, type, size, etc., and participation in Medicaid.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act, and section 222(a) of the Social

Security Act Amendments of 1972, Pub. L. 92-603 (42 U.S.C. 1395f, 1395f(note)).

PURPOSE(S):

To analyze practice costs, incomes and program participation according to physician characteristics.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. A congressional office from the record of an individual in response to an inquiry from the congressional office at the request of that individual.

2. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

American Medical Association background information will be maintained on a master sheet, and individually in each interview folder. Interview information was maintained on questionnaires prior to conversion to magnetic tape. Resulting tapes contain no personal identifiers.

RETRIEVABILITY:

Until each interview was completed and verified, the contractor maintained questionnaires and background information in folders labeled with the physician's name. Because the information has been removed from the folders, there can be no retrieval of individual records.

SAFEGUARDS:

All identifiers were removed from data as soon as the collection and matching was complete and verified. All persons having access to records were notified of criminal sanctions for unauthorized disclosure of information about individuals. Since the tapes will contain no personal identifiers, no special safeguards are required.

RETENTION AND DISPOSAL:

Master sheets will be retained indefinitely, folder identification links have been destroyed. Tapes without personal identifiers will be maintained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and Demonstrations, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

To access AMA background master sheets, name and address are required by the system manager.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with the Department Regulations (45 CFR, Section 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7).)

RECORD SOURCE CATEGORIES:

Responses from 1000 physicians nationwide and 1000 physicians in two Census regions, both for a single time use, background information from the American Medical Association Directory of Physicians.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0015

SYSTEM NAME:

Ambulatory Surgery Research Project HHS, HCFA, ORD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

The Orkand Corporation, 8630 Fenton Street, Silver Spring, Md. 20910.

The Orkand Corporation, OA420, 5131 North Fortieth Street, Phoenix, Arizona 82018.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients in selected ambulatory and hospital surgical facilities, and selected physicians.

CATEGORIES OF RECORDS IN THE SYSTEM:

Patient interview questionnaires containing demographic, financial, medical, and family information physician questionnaires with demographic and financial information.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 402 of the Social Security Amendments of 1967, Pub. L. 90-248, as amended by Section 222(b) of the Social Security Amendments of 1972, Pub. L. 92-603, 42 U.S.C. 1395b-1.

PURPOSE(S):

To determine the effect on program costs and quality of care of ambulatory surgical services.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

To contractor under contract with the Health Care Financing Administration to perform research and statistical activities related to this study.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department regulations (45 CFR 5b.b(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Hard copy questionnaires, hard copy patient identification forms, punched card decks, and magnetic tapes at contractors' locations. Magnetic tapes in non-individually identifiable form in the Social Security Administration.

RETRIEVABILITY:

By name, indexed to case number. At completion of the study, patient identification index will be destroyed and retrieval of individual information will no longer be possible.

SAFEGUARDS:

All records containing personal identifiers will be processed and handled at contractor's location. This

installation has Department of Defense approval at SECRET CLEARANCE level, and has on-site security personnel 24 hours a day at primary location. The patient identifier forms will be retained in a safe at that site until they are destroyed at completion of the study.

RETENTION AND DISPOSAL:

Records will be retained only as long as required for records management purposes. All patient identification will be destroyed at the conclusion of the study. Magnetic tapes in non-individually identifiable form will be retained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Office of Research and Demonstrations, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

For purposes of notification and access, name of system and name of individual; for purposes of verification, address, sex, and date of birth. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR 5b.6).)

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Patient and physician interview forms; patient medical records.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0017

SYSTEM NAME:

Health Insurance Benefit and Actuarial Sample Control System, HHS, HCFA, BDMS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Bureau of Data Management and Strategy, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

A sample of persons who have received Medicare benefits.

CATEGORIES OF RECORDS IN THE SYSTEM:

Record contains a limited number of fields from bill files.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act (42 U.S.C. 1395f).

PURPOSE(S):

To project program costs for the Federal budget exercises and the Trustees report; compute adjusted average per capita costs; estimate cost impact of proposed legislation and regulations; special analyses of specific aspects of historical or anticipated experience under the program; and to determine Medicare program financing needs.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Data are stored on magnetic tape.

RETRIEVABILITY:

Individual records are identified by claim account number. Data are used for statistical purposes.

SAFEGUARDS:

All magnetic tapes are retained in secure areas accessible only to authorized persons within the Bureau of Data Management and Strategy. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

RETENTION AND DISPOSAL:

Data are prepared monthly and magnetic tapes are returned to blank stock.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Data Management and Strategy, Room 2424, Oak Madows Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

For purposes of access the claim account number is required; write to the systems manager.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requests should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Health Insurance Master File.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0018

SYSTEM NAME:

Actuarial Health, Insurance and Supplementary Medical Insurance (Medicare) HHS, HCFA, BDMS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing Administration, Director, Office of Financial and Actuarial Analysis, BDMS, 6325 Security Boulevard, Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

A 0.1 sample of persons who have received Medicare benefits.

CATEGORIES OF RECORDS IN THE SYSTEM:

Health Insurance inpatient hospital and extended care admission and other health services; inpatient admission and billing—Christian Science Sanatorium; home health agency report and billing; and other documents used to support payments to providers of service. These forms contain the beneficiary's name, sex, health insurance claim number, date of admission and discharge, other health insurance data and a statement of services rendered. Supplemental medical insurance request for payment; provider billing for patient services by physician; prepayment plan for group Medicare practices dealing through a carrier, itemized bills and other similar documents required to support payments to physicians and other suppliers of Part B Medicare services.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act (42 U.S.C. 1395f).

PURPOSE(S):

To project program costs for the Federal budget exercises and the Trustees report; compute adjusted average per capita costs; estimate cost impact of proposed legislation and regulations; special analyses of specific aspects of historical or anticipated experience under the program; and to determine Medicare program financing needs.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice

Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Forms are kept in manila folders in the Office of Financial and Actuarial Analysis, Bureau of Data Management and Strategy.

RETRIEVABILITY:

The manila folders containing forms are filed in claim account number sequence.

SAFEGUARDS:

The filing system is retained behind closed doors and is accessible only to authorized persons. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

RETENTION AND DISPOSAL:

The claims folder is maintained in file until the death of the individual. Once a year the file is purged and inactive folders are stored in the Federal Record Center. No provisions have been made to destroy inactive folders.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Data Management and Strategy, Room 2424, Oak Meadows Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

For purposes of access the claim account number is required; write to the systems manager.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (The access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance

with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

The identifying information contained in these records is obtained by the provider from the individual; the medical information is entered by the provider of medical services.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0019

SYSTEM NAME:

Actuarial Sample Hospital Stay Record Study HHS, HCFA, BDMS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Statistics and Data Management, BDMS, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

A 0.1 sample of persons who have received hospital insurance benefits.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information is obtained from inpatient hospital and extended care admission, and inpatient admission and billing forms.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act (42 U.S.C. 1395f).

PURPOSE(S):

To project program costs for the Federal budget exercises and the Trustees report; compute adjusted average per capita costs; estimate cost impact of proposed legislation and regulations; special analyses of specific aspects of historical or anticipated experience under the program; and to determine Medicare program financing needs.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the

Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Data are stored on magnetic tape.

RETRIEVABILITY:

The file is indexed with claim account numbers; the data are used for statistical purposes.

SAFEGUARDS:

All mag-tape files are retained in secure storage areas—accessible only to authorized persons. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

RETENTION AND DISPOSAL:

The file is updated quarterly and the old tape goes to blank stock.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Data Management and Strategy, Room 2424, Oak Meadows Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

For purposes of access the claim account number is required; write to systems manager.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

The identifying information contained in these records is obtained by the provider from the individual; the medical information is entered by the provider of medical services.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0020

SYSTEM NAME:

Actuarial Sample of Supplementary Medical Insurance Payments HHS, HCFA, BDMS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Statistics and Data Management, BDMS, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

A sample of records for persons who have received benefits under the supplemental medical insurance provisions of the Medicare program.

CATEGORIES OF RECORDS IN THE SYSTEM:

The record contains only the information included in a payment record.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act (42 U.S.C 1395l).

PURPOSE(S):

To project program costs for the Federal budget exercises and the Trustees report; compute adjusted average per capita costs; estimate cost impact of proposed legislation and regulations; special analyses of specific aspects of historical or anticipated experience under the program; and to determine Medicare program financing needs.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems

desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Data are stored on magnetic tape.

RETRIEVABILITY:

The file is indexed with claim account number, these data are used for statistical purposes.

SAFEGUARDS:

All magnetic tapes are retained in secure storage areas accessible only to authorized persons. All employees having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals.

RETENTION AND DISPOSAL:

This file is updated on a quarterly basis. The tape files are returned to blank stock after three years.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Data Management and Strategy, Room 2424, Oak Meadows Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

For purposes of access the claim account number is required; write to the systems manager.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Supplemental medical insurance payment record.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0021

SYSTEM NAME:

Health Maintenance Organization
Prospective Reimbursement
Demonstrations, HHS/HCFA/ORD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing
Administration, Office of
Demonstrations and Evaluations, ORD,
Room 2426, Oak Meadows Building,
6325 Security Boulevard, Baltimore,
Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Medicare beneficiaries
institutionalized in counties
encompassed by the demonstrations.
The locations are as follows:
Massachusetts—Worcester and Suffolk
counties; Michigan—Ingham, Easton,
and Clinton counties; Minnesota—
Anoka, Carver, Dakota, Hennepin,
St. Louis, Ramsey, Scott, and
Washington counties; Oregon—
Clackamas, Multnomah, and
Washington counties; Washington—
Clark, Jefferson, Kitsap, and Mason
counties; and Wisconsin—Clark,
Marathon, Tylor, and Wood counties;
New York—King county; and
California—Orange and Los Angeles
counties.

CATEGORIES OF RECORDS IN THE SYSTEM:

Names and social security numbers of
institutionalized Medicare beneficiaries.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 402(a) of the 1967
amendments to the Social Security Act,
as amended by section 222(b)(1) of the
1972 amendments to the Social Security
Act, Pub. L. 92-603.

PURPOSE(S):

To provide data necessary to
calculate adjusted average per capita
costs for Medicare beneficiaries
enrolled in HMOs. HCFA will use these
data along with other information to
determine if HCFA can predict accurate
rates for reimbursing HMOs in such a
way as to ensure sufficient revenues for
the HMOs.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) HCFA may make disclosures to
contractors for research and statistical
activities under HCFA's direction.

(2) HCFA may make disclosures to a
congressional office from the record of
an individual in response to an inquiry

which the congressional office makes at
the request of that individual.

(3) In event of litigation where the
defendant is (a) the Department, any
component of the Department, or any
employee of the Department in his or
her official capacity; (b) the United
States where the Department determines
that the claim, if successful, is likely to
directly affect the operations of the
Department or any of its components; or
(c) any Department employee in his or
her individual capacity where the
Justice Department has agreed to
represent such employee, the
Department may disclose such records
as it deems desirable or necessary to the
Department of Justice to enable that
Department to present an effective
defense provided such disclosure is
compatible with the purpose for which
the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

HCFA and the contractor will store
hard copy records in locked metal file
cabinets. HCFA will maintain data
transferred to computer tapes in secure
storage areas in the HCFA tape library.
The contractor will forward all
hardcopy data to HCFA and will not
maintain any records once data are
transferred to HCFA.

RETRIEVABILITY:

HCFA will retrieve the data by
beneficiary name and social security
number. HCFA will use the data to
calculate the adjusted average per
capita cost (AAPCC) for Health
Maintenance Organizations
participating in the demonstrations.

SAFEGUARDS:

HCFA will maintain all records in
secure storage areas accessible only to
authorized HCFA employees and will
notify all employees having access to
records of criminal sanctions for
unauthorized disclosure of information
on individuals. HCFA will store
hardcopy and tapes in secure storage
areas until December 31, 1985.

For computerized records, where
appropriate, HCFA will initiate ADP
systems security procedures with
reference to guidelines contained in
DHHS ADP Systems Manual, Part 6,
ADP Systems Security; and the National
Bureau of Standards Federal
Information Processing Standards
Publications.

RETENTION AND DISPOSAL:

HCFA will retain hardcopy data
collection forms and magnetic data

tapes with identifiers in secure storage
areas. HCFA will use the disposal
technique of degaussing to strip
magnetic tape of all identifying names
and numbers in December 1985. HCFA
will destroy hardcopy at that time.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and
Demonstrations, HCFA, Room 4228,
HHS Building, 330 Independence
Avenue S.W., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

Any Medicare beneficiary who
participates in this demonstration may
request his or her data record in writing.
Individuals should address inquiries and
requests concerning system records to
the system manager named above.

RECORD ACCESS PROCEDURE:

Same as notification procedure.
Requestor should specify the record
contents being sought. These access
procedures are in accordance with
Department Regulations (45 CFR
5b.5(a)(2)).

CONTESTING RECORD PROCEDURES:

Contact the system manager named
above, and reasonably identify the
record and specify the information to be
contested. State the corrective action
sought and the reasons for the
correction with supporting justification.
These procedures are in accordance
with Department Regulations (45 CFR
5b.7).

RECORD SOURCE CATEGORIES:

Institutions located in the geographic
areas encompassed by the
demonstrations, including nursing
homes, sanitariums, rest homes,
convalescent homes, and long term care
hospitals.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0022

SYSTEM NAME:

Municipal Health Services Program,
HHS/HCFA/ORD.

SECURITY CLASSIFICATIONS:

None.

SYSTEM LOCATION:

Health Care Financing Administration
(primary location), Bureau of Support
Services, Office of Direct
Reimbursement, Health Services Studies
Division (DHSS), 6325 Security
Boulevard, Baltimore, Maryland 21207,
and

University of Chicago, Center for Health Administration Studies (CHAS), 5720 Woodlawn Drive, Chicago, Illinois 60637.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Medicare and Medicaid beneficiaries who obtain health care services at any of the 20 clinics being funded by the Robert Wood Johnson Foundation under the Municipal Health Services Program (MHSP).

CATEGORIES OF RECORDS IN THE SYSTEM:

Bills submitted by MHSP clinics to claim Federal reimbursement for services provided to Medicare and Medicaid beneficiaries.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 402(a) of the Social Security Amendments of 1967, as amended by section 222(b)(1) of Pub. L. 92-603.

PURPOSE(S):

To provide billing data necessary to permit reimbursement and evaluation of the clinics participating in the MHSP.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) The University of Chicago, Center for Health Administration Studies (CHAS), will use the data to evaluate the impact of the MHSP on health care costs and utilization.

(2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

(3) In event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

The Division of Health Services Studies (DHSS) and CHAS will store data of hardcopy billing forms and machine readable media in storage area.

RETRIEVABILITY:

DHSS and CHAS retrieve the data by beneficiary name, date of service, and clinic name. DHSS will use the data to determine the appropriate level of reimbursement to be made to MHSP clinics.

SAFEGUARDS:

DHSS and CHAS will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals. DHSS will store hardcopy in file cabinets in a locked office. For computerized records, HCFA will initiate ADP systems security procedures with reference to the guidelines contained in the DHSS ADP Systems Manual, Part 6, ADP System Security (e.g., DHSS will store machine readable media in locked cabinets in a locked room accessible only to authorized personnel).

RETENTION AND DISPOSAL:

DHSS and CHAS will retain hardcopy bills and machine readable media tapes with identifiers in secure storage areas. HCFA waivers permitting reimbursement to MHSP clinics will be effective through 1984; therefore HCFA will retain all hardcopy and magnetic tape of disc data until December 1985. At that time, HCFA will destroy all hardcopy and strip all machine readable media of all identifying names and numbers by degaussing.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and Demonstrations, HCFA, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

Individuals should address inquiries and requests concerning system records to the system manager, named above, specifying name, date of service, and clinic.

RECORD ACCESS PROCEDURES:

Any beneficiary who participates in the MHSP may request his or her data record in writing. Access procedure is the same as notification procedure. Requestor should also reasonably specify the record contents being sought.

These procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedure above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7)).

RECORD SOURCE CATEGORIES:

The information contained in this record system originates at MHSP clinics, specified in Appendix A to this notice, whenever a Medicare or Medicaid beneficiary obtains clinic services. Clinics in four of the cities, specified in Appendix B to this notice, will store hardcopies or machine readable media copies of the bills in their city health departments.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix A—Participating Centers and Clinics

Contact the System Manager for further information about potential sites (*), clinics or center not yet built (**), and those that are to be moved.

Baltimore

Bank Street Health Center, 3411 Bank Street, Baltimore, Maryland

Belair—Edison—Gardenville Health Center*

Hollander Ridge Health Center, Hollander Ridge Avenue, Baltimore, Maryland

North of the Park Health Center*
O'Donnell Heights Health Center**

St. Louis

Courtney Health Center, 1717 Biddle Street, St. Louis, Missouri

13th and Wyoming Health Center, 3200 South 13th Street, St. Louis, Missouri

South Grand Health Center, 1501 South Grand Avenue, St. Louis, Missouri (will be moved), Walnut Park Health Center*

Milwaukee

Johnston Health Center, 1230 West Grant Street, Milwaukee, Wisconsin

Downtown Medical and Health Services, 2340 West Wisconsin Avenue, Milwaukee, Wisconsin, Karambee Health Center*, Sinai Clinic**

Cincinnati

Winston Hills Medical and Health Center, 5275 Winneste Avenue, Cincinnati, Ohio 45232

Avondale Clinic (Catherine Booth will be moved), 3595 Washington Avenue, Cincinnati, Ohio 45229

Braxton-Cann Memorial Medical Clinic, 5919 Madison Road, Cincinnati, Ohio 45227

San Jose

Gardener Community Health Center, Inc., 325 Willow Street, San Jose, California 95110

Franklin-McKinley Health Center, Clayton Road, San Jose, California

Downtown Clinic (site not selected).

Family Health Foundation of Alviso Adolescent Center (satellite to Franklin-McKinley)*

Appendix B—City Health Departments Where Records Will Be Stored

Baltimore City Department of Health, 111 N. Calvert Street, Baltimore, Maryland 21202

Cincinnati Department of Health, 3101 Burnet Avenue, Cincinnati, Ohio 45229

Milwaukee Department of Health, 841 N. Broadway, Milwaukee, Wisconsin 53202

St. Louis Department of Health and Hospitals, 1625 S. 14th Street, St. Louis, Missouri 63104

09-70-0023

SYSTEM NAME:

Evaluation of Home Dialysis Aide Demonstration, HHS/HCF/A/ORD

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

The Orkand Corporation, 8630 Fenton Street, Suite 938, Silver Spring, Maryland 20910.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

1. Chronically ill Medicare beneficiaries with end-stage renal disease (ESRD) who dialyze at home, with or without a dialysis aide, or who dialyze in a facility as an outpatient; who receive dialysis services from participating experimental facilities; and who have signed the informed consent form for the demonstration and evaluation. (Note: For purposes of the demonstrations and the evaluation, dialysis aides have been defined as: Partner—a paid or non-paid family member; Assistant—a paid or non-paid, non-family member; Aide—generic term for either of the above.) The Health Care Financing Administration (HCFA) will permit payment for certain dialysis services (aide service and/or equipment) provided to these individuals and their aides which are not now covered under Medicare. These patients will be called "experimental patients" in this Notice.

2. Chronically ill Medicare beneficiaries with end-stage renal disease who dialyze at home, with or without an aide, or who dialyze in a

facility as an outpatient; who receive dialysis services from participating control facilities; and who have signed the informed consent form for the evaluation. These patients will be called "control patients" in this Notice.

CATEGORIES OF RECORDS IN THE SYSTEM:

1. Patient questionnaires administered to approximately 1,500 patients, both home and in-facility, at both experimental and control facilities. These questionnaires will provide sociodemographic information on each patient; patient dialysis history and experience; out-of-pocket expenses incurred; and patient attitudes towards dialysis, training, aides, location of dialysis and a comparison of home to facility dialysis. Questionnaires will show patient and health insurance claim number (HI claim number).

2. Aide questionnaires will show name and identify the aide's sociodemographic characteristics and employment experience as a dialysis aide and in other jobs. The questionnaire focuses on job attitudes, satisfaction with home training, responsibilities involved, facility support activities, and the job itself.

3. Aide record abstracts will identify aides by name and provide sociodemographic characteristics, occupational background, home training experience, employment history, amount of time spent in assisting patients with dialysis, and number of patients served.

4. Training records will identify patients by name and HI claim number and aides by name. Data will be provided on length of training, testing frequency and results, and retraining needed.

5. Medical records for both home and in-facility patients selected will identify patients by name and HI claim number. Data will be provided on adverse dialysis events, monitoring and support services received, underlying diagnosis of renal disease, type of treatment received, and cause of death, if applicable.

6. Patient billing records will identify patients by name and HI claim number and will provide information on charges for specific dialysis services to Medicare, Medicaid, third party payors, and to the patient. Information will also be provided on payments made by various payors, amounts disallowed by Medicare, and amount not paid.

7. Demonstration contractor data will also be entered into the system and identify patient by name and HI claim number. Demographic information will be provided and a breakdown of dialysis sessions recorded, type of aide, type of treatment, location of dialysis,

and date of transplant, transfer, or death.

8. Information on patients will also be obtained from the supplemental Medicare billing forms. This data will be linked to other sources of data through a patient's HI claim number. Information to be provided includes patient history and treatment plan (HCFA 2742), outpatient dialysis service information (HCFA 2743), and death notification (HCFA-2746).

9. Master magnetic tape file containing all utilization, quality, attitude, and cost data included in the other system records listed above.

10. HCFA will obtain written informed consent of every individual from whom information is solicited or whose records are abstracted for purposes of the demonstration and evaluation.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 402 of the Social Security Amendments of 1967, Pub. L. 90-248, as amended by Section 222(b) of the Social Security Amendments of 1972, Pub. L. 92-603, and Pub. L. 95-292.

PURPOSE(S):

To provide utilization, attitude, cost, and quality data necessary to evaluate the dialysis care received by patients who dialyze at home, with or without an aide, or in-facility, and who are served by selected facilities participating in three demonstration projects sponsored by HCFA. The participating experimental facilities are identified in Appendix A and the participating control facilities are identified in Appendix B.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. The independent evaluator will receive all information in the system from patient questionnaires, aide questionnaires, patient records, aide records, facility records, demonstration contractor records, intermediaries, and selected HCFA files either in hard copy, magnetic tape, or cards and store it in a master file. The independent evaluator will use this information to evaluate the cost, quality, attitudes, and utilization of dialysis care provided to home and in-facility patients in both the experimental and control facilities participating in the Home Dialysis Aide demonstrations. Once patient questionnaire information is linked to patient billing and medical records, all personal identifiers will be removed from the file.

2. Disclosure may be made to a Congressional office from the record of an individual in response to an inquiry

from the Congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

The independent evaluator will store records in hard copy and magnetic tape form.

RETRIEVABILITY:

Records are indexed by HI claim number or other unique identifier.

SAFEGUARDS:

The independent evaluator will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals. Authorized HCFA representatives will upon request, be granted access to premises where records are kept for the purpose of inspecting physical security arrangements. However, no data will be released with identifying information. For computerized records, the independent evaluator will initiate automated data processing (ADP) system security procedures required by the DHHS ADP Systems Manual, Part 6, ADP Systems Security, e.g. use of passwords.

RETENTION AND DISPOSAL:

The independent evaluator will hold hard-copy records, magnetic types, and cards until patient and aide-specific data are received and compiled. All identifying information and hard-copy will then be destroyed, thus protecting the confidentiality of all information collected. The Orkand Corporation will retain all records for the life of the evaluation (September 30, 1982) and then these records will become the custody of the Office of Research and Demonstrations, HCFA. The independent evaluator will not retain any patient-based files. Data supplied to HCFA will not include patient identifiers. No data which would possibly identify an individual will be supplied.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and Demonstrations, Health Care Financing Administration, Room 4228 HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

Individuals should address inquiries and requests concerning system records to the system manager indicated above, specifying name, approximate date of

service (if known), and ESRD facility. An individual who requests notification or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. These notification and access procedures are in accordance with Department Regulations (45 CFR Part 5b).

RECORD ACCESS PROCEDURES:

Individuals participating in the demonstrations and the evaluation may request their data records in writing. Access procedure is the same as the notification procedure. Requestor should reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Part 5b).)

CONTESTING RECORD PROCEDURES:

An individual who wishes to contest the contents of any record in this system should contact the system manager and reasonably identify and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR Part 5b).)

RECORD SOURCE CATEGORIES:

Sources of information contained in this record system include individual patients and dialysis aides, participating experimental and control facilities, demonstration contractors, cooperating intermediaries, and selected HCFA files.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix A

I. University of Utah—Experimental Facilities

1. American Medical Supply, Inc. Denver, CO.
2. Bio-Medical Applications of Fort Collins, Fort Collins, CO.
3. Ogden Limited Care Dialysis Center, Ogden, UT.
4. Pike's Peak Dialysis Center, Colorado Springs, CO.
5. Maintenance Hemodialysis Unit, Presbyterian Medical Center, Denver, CO.
6. Rocky Mountain Kidney Center, Denver, CO.
7. St. Mary Corwin Hospital Hemodialysis Unit, Pueblo, CO.
8. Hemodialysis Unit, St. Mary's Hospital, Grand Junction, CO.
9. Home Training Center, University of Colorado Medical Center, Denver, CO.
10. Dialysis Training Center, University of Utah, Salt Lake City, UT

11. Utah Dialysis Training Center, University of Utah, Salt Lake City, UT.

II. System Sciences, Inc.—Experimental Facilities

1. Baumritter Kidney Center, Bronx, NY.
2. Downstate Dialysis Center, Brooklyn, NY.
3. El Camino Hospital, Mountain View, CA.
4. Kidney Care, Inc., Jackson MS.
5. Kidney Care of Florida, Inc., Tampa, FL.
6. Regional Kidney Disease Program, Minneapolis, MN.
7. St. Joseph's Hospital Hemodialysis Center, Orange, CA.
8. The Kidney Center, Boston, MA.

III. Research Triangle Institute—Experimental Facilities

1. A. J. Tannenbaum Medical Associates, Greensboro, NC.
2. Asheville Kidney Center, Asheville, NC.
3. Bowman Gray School of Medicine, Winston Salem, NC.
4. Carolina Clinic, Inc. Dialysis Unit, Winston, NC.
5. Duke University Medical Center, Durham, NC.
6. Greenville Dialysis Center, Greenville, NC.
7. Nalle Clinic Kidney Center, Charlotte, NC.
8. North Carolina Memorial Hospital, Chapel Hill, NC.
9. Southeastern Kidney Center, Wilmington, NC.

Appendix B

I. University of Utah—Control Facilities

1. Holt-Krock Dialysis Center, Ft. Smith AR.
2. Hemodialysis Unit, Jewish Hospital of St. Louis, St. Louis, MO.
3. Hemodialysis Unit, Baptist Unit, Baptist Medical Center, Oklahoma City, OK.
4. Hemodialysis Unit, Clinton Regional Hospital, Clinton, OK.
5. Sayre Memorial Hospital, Sayre, OK.
6. Renal Department, Hillcrest Medical Center, Tulsa, OK.

II. System Sciences, Inc.—Control Facilities

1. Bio-Medical Applications of Tampa, Tampa, FL.
2. Bio-Medical Applications of Dallas, Dallas, TX.
3. Dade Dialysis Center, Miami, FL.
4. Mt. Diablo Medical Center, Concord, CA.
5. North Central Dialysis Center, Chicago, IL.
6. Northwest Kidney Center, Seattle, WA.
7. Rogosin Kidney Center, New York, NY.
8. UCSD Hemodialysis Unit, San Diego, CA.

III. Research Triangle Institute—Control Facilities

1. Dialysis Clinic, Inc., Nashville, TN.
2. Dialysis Clinic, Inc., Knoxville, TN.
3. Dialysis Clinic, Inc., Chattanooga, TN.
4. Rhea County Hospital, Dayton, TN.
5. Fort Sanders Kidney Center, Inc., Knoxville, TN.
6. Baptist Memorial Hospital, Memphis, TN.

7. East Tennessee Dialysis Center, Johnson City, TN.

09-70-0024

SYSTEM NAME:

Medicare/Medicaid Hospice Demonstration, HHS/HCFR/ORD

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing Administration, Bureau of Support Services, Office of Health Program Systems, Program Support Branch Operations Building, 6401 Security Boulevard, Baltimore, Maryland 21235.

Health Care Financing Administration, Bureau of Support Services, Office of Direct Reimbursement, Division of Health Services Studies, 6325 Security Boulevard, Baltimore, Maryland 21207.

Washington National Records Center, Reference Branch, 4205 Suitland Road, Suitland, Maryland 20409.

Brown University, Division of Biology and Medicine, Arnold Lab Building, 97 Waterman Street, Providence, Rhode Island 02912.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

1. Terminally ill Medicare beneficiaries and their primary care givers (that is, a family member, a friend, or an attendant paid by the patient or family) who receive hospice services from the 26 participating hospices and who have given written informed consent to participate in the demonstration. These patients will be called "patient participants" in this Notice (Requirements for patient participation are listed at the end of this section);

2. Terminally ill Medicaid (Medi-Cal) recipients and their primary care givers who receive hospice services at 24 of the participating hospices under the 14 participating State Medicaid programs, and who have given written informed consent to participate in the demonstration. These patients also will be called "patient participants";

3. Terminally ill patients and their primary care givers who receive services in the 26 participating hospices, but who are neither Medicare beneficiaries nor Medicaid recipients, or who otherwise do not meet the requirements for participation in the demonstration. Individuals in this category must give a written informed consent in order to be covered by this record system. These patients will be called "nonparticipating patients";

4. Terminally ill patients and their primary care givers served by selected hospices outside the demonstration, and who have given a written informed consent to be covered by this record system. These individuals will be called "comparison patients" or members of the "patient comparison groups" in this Notice;

5. Terminally ill patients and their primary care givers who receive conventional care from selected hospitals or cancer centers, and who have given a written informed consent to be covered by this record system. These individuals also will be called "comparison patients" or members of the "patient comparison groups" in this Notice.

In order to participate in the demonstration, patients must have: (1) A life expectancy of 6 months or less as certified by a physician, (2) a primary care giver, such as a relative, friend, or paid attendant who is available to provide simple personal care and emotional support on an around-the-clock basis, and (3) entitlement to Hospital Insurance Benefits (Medicare Part A) and Supplementary Medical Insurance Benefits (Medicare Part B) and/or eligibility under Medicaid. The Health Care Financing Administration (HCFA) will "waive," or temporarily not enforce, some provisions of the Medicare and Medicaid laws in order to permit payment for certain hospice services which are not now covered under these two programs. HCFA will reimburse for waived services provided only to patient participants and their primary care givers (the first two categories above).

CATEGORIES OF RECORDS IN THE SYSTEM:

1. Bills for hospice-type services waived or currently covered by Medicare, which are submitted to HCFA by the 26 participating hospices. Billing and service information will show patient names and health insurance claim numbers (HI claim numbers);

2. Quarterly service utilization reports produced by HCFA from billing records. These reports will show Medicare services, by patient name and HI claim number, for which payment was made under the demonstration;

3. Billing information on hospice-type services waived or currently covered by Medicaid, which is submitted by the participating hospices to participating Medicaid State Agencies or to HCFA. These records will show patient names and unique numerical identifiers;

4. Billing information on other nonwaived services received by patient participants, non-participating patients, or comparison patients from

the participating hospices, the comparison hospices and hospitals, or other sources of care. This category of records will include hard copy or magnetic tapes of billing and service data supplied by participating and non-participating Medicaid State Agencies and cooperating private insurers, as well as information extracted from selected Medicare claims and enrollment files that are covered by existing systems notices;

5. Patient/primary care giver profile forms which will show patient name and HI claim number or other unique identifier. These hospice forms will provide information such as the patient's current status and prognosis, the array of patient/family needs, and appropriateness of hospice care for these needs. In addition, the profile forms will supply a variety of demographic, financial, and insurance data, including whether or not the patient is receiving Social Security disability benefits;

6. Patient discharge data forms which will show patient name and HI claim number or other unique identifier. These forms will provide information on total days of services received in inpatient and home care settings, reason for discharge, and place of death;

7. Service utilization abstracts which will show patient name and HI claim number or other unique identifier. These records will be updated periodically for all categories of individuals in the system and will document services provided to each patient and primary care giver, time required for each service, and type of professional (or volunteer) providing the services. The abstracts will also document bereavement services to the primary care giver following the patient's death;

8. Survey on the "Impact of Hospice Care on Patient and Family." Survey forms will show patient name and HI claim number or other unique identifier. This survey will be a major source of information for the independent evaluator in determining the quality and acceptability of services provided to terminally ill patients. The questions will focus on the patient's experience of pain and other symptoms, functional and emotional status of the patient, and patient and primary care giver attitudes toward care received;

9. Master demonstration file, indexed by patient name and HI claim number or other unique identifier, containing all billing, service, and evaluation data included in the other system of records listed above.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 402 of the Social Security Amendments of 1967, Pub. L. 90-248, as amended by section 222(b) of the Social Security Amendments of 1972, Pub. L. 92-603, and section 1115(a) of the Social Security Act, as amended by section 404 of the Social Security Amendments of 1977, Pub. L. 95-216.

PURPOSE(S):

The purpose of this system of records is: (1) to provide billing, cost, and service data necessary to reimburse and evaluate the care received by terminally ill Medicare beneficiaries, Medicaid recipients, and their primary care givers from hospice organizations selected to participate in the demonstration; (2) to furnish information necessary to evaluate the services received by other groups of terminally ill patients and their families; (3) to develop national policy recommendations to the Congress; (4) to validate the work of the independent evaluator; (5) to provide national data projections as a basis for actuarial estimates of the cost of the hospice program and the cost of terminal illness in general; and (6) for additional internal analyses.

HCFA may also provide information from the record of an individual to other agencies of the Department of Health and Human Services, such as the Social Security Administration.

HCFA will obtain the written informed consent of every individual from whom information is solicited or whose records are abstracted for purposes of the demonstration or its evaluation.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. Brown University will receive all information in the system from billing, service utilization, patient/primary care giver profile and patient/family attitude records, either in hard copy, magnetic tape, or flexible diskette forms, and store it in the master demonstration file, a magnetic tape. The evaluator will use this information to assess the cost, use, quality and acceptability of care provided to terminally ill patients in both the demonstration and comparison groups;

2. HCFA may disclose a record from this system of records as a "routine use" to an individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. Determines that the use or disclosure does not violate legal

limitations under which the record was provided, collected, or obtained;

b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is a reasonable probability that the objective for the use would be accomplished;

c. Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the information recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) Make no further use or disclosure of the record except:

(a) In emergency circumstances affecting the health or safety of any individual,

(b) For use in another research project, under these same conditions, and with written authorization of HCFA,

(c) For disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) When required by law;

d. Secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

3. HCFA may make disclosures to a congressional office from the record of an individual in response to an inquiry which the congressional office makes at the request of that individual;

4. In event of litigation where the defendant is (a) the Department, any component of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the

Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected;

5. HCFA may make disclosures to a participating Medicaid State Agency from the record of a Medicaid recipient who resides in that State.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Participating hospices will transmit hard copy or tapes of billing information for services that are waived or currently covered by Medicare to Division of Health Services Studies, Office of Direct Reimbursement (DHSS/ODR), HCFA. This Office will serve as the fiscal intermediary for Medicare payments under the demonstration. DHSS/ODR will transfer the information to an automated record system using flexible diskettes. After the operational phase of the demonstration, this information will be transferred to magnetic tape.

Some participating Medicaid State Agencies have also chosen to use DHSS/ODR as their fiscal intermediary for the demonstration. In these States, participating hospices will also submit Medicaid bills to DHSS/ODR. Other Medicaid State Agencies which use their regular intermediaries for the demonstration will transmit billing information to the independent evaluator.

Besides Medicaid bills, Brown University will also receive copies of all other records in the system, whether generated by DHSS/ODR, Medicaid State Agencies, or cooperating private insurers. From these records and from information extracted from Medicare claims and enrollment files, Brown University will create a master demonstration file (a magnetic tape). HCFA will hold a duplicate of this master file.

HCFA and Brown University will store records in hard copy, flexible diskette and magnetic tape form.

RETRIEVABILITY:

(a) HCFA will store and retrieve Medicare and Medicaid billing data by beneficiary name and HI claim number or other unique identifier.

(b) HCFA will retrieve data from the master demonstration file by patient name and HI claim number or other unique identifier.

SAFEGUARDS:

HCFA and Brown University will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals. For computerized records, HCFA and Brown University will initiate automated data processing (ADP) systems security procedures required by the DHHS ADP Systems Manual, Part 6, ADP Systems Security. As examples of system safeguards, DHSS/ODR, which will process the majority of bills submitted by the participating hospices, will store all magnetic tapes in a locked tape library in a locked computer room. The mini-computer used by DHSS/ODR is not linked to any outside terminals and so there is no access to the system beyond the secured computer room. Moreover, only specific personnel may enter this room. The building housing this system is guarded during non-work hours.

RETENTION AND DISPOSAL:

HCFA and Brown University will retain these records for the life of the demonstration and the evaluation. HCFA then will destroy all information in records from the demonstration and evaluation which contain personal identifiers, whether in hard copy records or on magnetic tapes or flexible diskettes. The sole exception will be the hard copy Medicare billing records. Upon completion of the evaluation, these billing records will be sent to the Washington National Records Center in Suitland, Maryland. Records on bills for the Hospital Insurance Program will be destroyed 8-years after payment is made, and records on bills for the Supplementary Medical Insurance Program will be destroyed 5 years after payment is made.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and Demonstrations, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

Individuals should address inquiries and requests concerning system records to the system manager, indicated above, specifying name, approximate date of service (if known), and hospice or hospital. An individual who requests notification or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject

individual of its contents at the representative's discretion. These notification and access procedures are in accordance with Department Regulations (45 CFR Part 5b).

RECORD ACCESS PROCEDURE:

Individuals who participated in the demonstration project may request their data records in writing. Access procedure is the same as the notification procedure. Requestor should reasonably specify the record contents being sought. These access procedures are in accordance with Department Regulations (45 CFR Part 5b).

CONTESTING RECORD PROCEDURES:

An individual who wishes to contest the contents of any record in this system should contact the system manager, reasonably identify the record, and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. These procedures are in accordance with Department Regulations (45 CFR Part 5b).

RECORD SOURCE CATEGORIES:

Sources of information contained in this record system include individual patients and primary care givers, the participating hospices, the comparison hospices and hospitals, participating and selected non-participating Medicaid State Agencies, cooperating private insurers, and selected HCFA enrollment and claims files.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix A—Participating Hospices

- Genesee Region Home Care Association, 311 Alexander Street, Rochester, New York 14604.
- Connecticut Hospice, Inc., 61 Burban Drive, Branford, Connecticut 06405.
- Overlook Hospital, Division of Community Health, 193 Morris Avenue, Summit, New Jersey 07901.
- Medical College of Virginia, Box 37, MCV Station, Richmond, Virginia 23298.
- Visiting Nurse Association of Dallas, 4606 Greenville Avenue, Dallas, Texas 75206.
- Hospital Home Health Care, 400 Walter N.E., Suite 316, Albuquerque, New Mexico 87102.
- Hospice Care, Inc., 8891 78th Avenue, North, Seminole, Florida 33543.
- Providence Medical Center, 700 N.E. 47th Avenue, Portland, Oregon 97213.
- Bethesda Lutheran Medical Center, 559 Capitol Boulevard, St. Paul, Minnesota 55103.
- Bellin Memorial Hospital, P.O. Box 1700, 744 South Webster Avenue, Green Bay, Wisconsin 54305.
- Community Home Health Care, 200 West Thomas Street, Seattle, Washington 98119.

- Cabrini Medical Center, 227 East 19th Street, New York, New York 10003.
- San Diego County Hospice Corporation, 3134 El Cajon Boulevard, San Diego, California 92104.
- Hospice of Northern Virginia, Inc., 4715 North 15th Street, Arlington, Virginia 22205.
- Santa Barbara Visiting Nurse Association, 133 East Haley Street, Santa Barbara, California 93101.
- Boulder County Hospice, 2118 14th Street, Boulder, Colorado 80302.
- University of Massachusetts Medical Center, Palliative Care Service, Inc., 55 Lake Avenue, North, Worcester, Massachusetts 01605.
- Hospital Home Health Care Agency of California, 23228 Hawthorne Boulevard, Torrance, California 90505.
- San Pedro Peninsula Hospital, 1300 West Seventh Street, San Pedro, California 90732.
- St. Benedict Hospital and Nursing Home, Johnson at South Alamo, San Antonio, Texas 78204.
- Hospice, Inc., 111 N.W. 10th Avenue, Miami, Florida 33128.
- Hospice of the Good Shepherd, Inc., P.O. Box 144, Waban, Massachusetts 02168.
- Visiting Nurse Association, Inc., 260 College Street, Burlington, Vermont 05401.
- Hospice of Marin, 77 Mark Drive, #6, San Rafael, California 94903.
- Rogers Memorial Hospital, Inc., 34810 Pabst Road, Oconomowoc, Wisconsin 53066.
- Lutheran Medical Center, Continuing Care Unit, 2639 Miami Street, St. Louis, Missouri 63118.

Appendix B—Participating Medicaid State Agencies

- Colorado Department of Social Services, 1574 Sherman Street, Denver, Colorado 80203.
- New Jersey Department of Human Services, 324 East State Street, Trenton, New Jersey 08625.
- Department of Social Welfare, State Office Building, Montpelier, Vermont 05602.
- Department of Social and Health Services, Division of Medical Assistance LK-11, Office of Medical Policy and Procedure, Olympia, Washington 98504.
- Department of Human Services, Income Support Division, P.O. Box 2348, Santa Fe, New Mexico 87503.
- Department of Health Services, 714 P Street, Sacramento, California 95814.
- Department of Health and Rehabilitative Services, 1317 Winewood Boulevard, Tallahassee, Florida 32301.
- New York State Department of Social Services, 40 North Pearl Street, Albany, New York 12243.
- Department of Health, 109 Governor Street, Richmond, Virginia 23219.
- Department of Health and Social Services, Room 643, 1 West Wilson Street, Madison, Wisconsin 53702.
- Department of Income Maintenance, 110 Bartholomew Avenue, Hartford, Connecticut 06115.
- Department of Public Welfare, Income Maintenance Division, 690 North Robert Street, St. Paul, Minnesota 55164.

Department of Public Welfare, 600
Washington Street, Boston, Massachusetts
02111.
Texas Department of Human Resources, P.O.
Box 2960, Austin, Texas 78769.

09-70-0025

SYSTEM NAME:

Evaluation of the Long-Term Home
Health Care Program, HHS, HCFA, ORD

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Abt Associates, Inc., 55 Wheeler
Street, Cambridge, Massachusetts 02138.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

1. Past and current participants of the
Long-Term Home Health Care Program
(LTHHCP).

2. Comparison patients who meet the
eligibility requirements for the LTHHCP
and have signed the consent form for
this evaluation but are not participants.
To participate in the LTHHCP,
individuals must fulfill the following
four requirements:

1. Be Medicaid eligible.
2. Have a DMS-1 score of at least 60.
3. Annual cost of health care services
required by the individual must not
exceed 75% of the cost of alternative
long-term care, i.e., nursing home care.
4. Have an adequate home situation in
which he/she can be maintained.

CATEGORIES OF RECORDS IN THE SYSTEM:

1. Records of health status measured
by the New York State Medical
Assessment Abstract, the DMS-1. These
assessments will specify the nature of
disabilities, diagnosis, as well as the
type of rehabilitation required and the
level of care needed.

2. Records of home environment that
contain information regarding the
potential of the patient's residence for
home care, the motivation of the patient
and his/her family to retain the patient
at home, and various demographic data
about the patient.

3. Reports of projected cost of home
care that contain information about the
projected types and cost of home care
services required by the patient.

4. Records for service utilization and
cost that include data from major
benefit programs, namely, Medicaid,
Medicare, Food Stamps, public
assistance, Title XX social services, fuel
assistance, and Supplemental Security
Income.

5. LTHHCP discharge summary
reports that contain information about
the patient's health status and service
needs upon discharge from the LTHHCP.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 402 of the 1967 Amendments
to the Social Security Act, Pub. L. 90-
248, as amended by section 222(b) of the
1972 Amendments to the Social Security
Act, Pub. L. 92-603, and section 1115(a)
of the Social Security Act, as amended
by section 404 of the Social Security
Amendments of 1977, Pub. L. 95-216.

PURPOSE(S):

The purpose of this system of records
is:

1. To develop national policy
recommendations to the Congress and
the Department of Health and Human
Services,
2. To validate the work of the
independent evaluator,
3. To determine whether the LTHHCP
is meeting its programmatic goals, and
4. To determine the population
characteristics, cost and effectiveness of
LTHHCP relative to those of programs
with similar goals operating elsewhere
in the United States.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. Abt Associates, Inc., the
independent evaluator, will receive all
information in the system about health
status, service utilization, and cost on
either hard copy, magnetic tape, or
flexible diskette form, and store it in the
master evaluation file, and magnetic
tape. The evaluator will use this
information to assess changes in health
status, in addition to service utilization
and cost for patients in the LTHHCP and
in the comparison group.
2. HCFA may make disclosures to a
congressional office from the record of
an individual in response to an inquiry
which the congressional office makes at
the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Hardcopy health status and home
environment reports will be stored at
Abt Associates, Inc. in a secured storage
area. Service utilization and cost
information on magnetic tape as well as
data tapes created from hardcopy forms,
will be stored in locked tape libraries
and computer rooms maintained by Abt
Associates, Inc. The information from
these records will be merged and stored
in the master evaluation file.

RETRIEVABILITY:

Information stored on magnetic tape
will be retrievable by Medicaid or
Social Security number. Information

stored on the master evaluation file will
also be retrievable by Medicaid number.

SAFEGUARDS:

Abt Associates will maintain all
records in secure storage areas
accessible only to authorized employees
and will notify all employees having
access to records of criminal sanctions
for unauthorized disclosure of
information on individuals. For
computerized records Abt Associates,
Inc., will initiate automated data
processing (ADP) systems security
procedures required by the DHHS ADP
Systems Manual, Part 6, ADP Systems
Security. Data files will be accessed and
searched with the authorized user
password only.

RETENTION AND DISPOSAL:

Abt Associates, Inc., will retain the
records for the life of the evaluation and
then transfer to HCFA. HCFA will then
destroy all patient identifiers in records
from the evaluation, whether in hard
copy records or on magnetic tapes or
flexible diskettes.

SYSTEM MANAGER AND ADDRESS:

Director, Office of Research and
Demonstrations, Health Care Financing
Administration, Room 4228, HHS
Building, 330 Independence Avenue,
SW., Washington, D.C. 20201

NOTIFICATION PROCEDURE:

Individuals should address inquiries
and requests concerning system records
to the system manager indicated above,
specifying name and Medicaid number.
An individual who requests notification
or access to a medical record shall, at
the time the request is made, designate
in writing a responsible representative
who will be willing to review the record
and inform the subject individual of its
contents at the representative's
discretion. These notification and access
procedures are in accordance with
Department Regulations (45 CFR Part
5b).

RECORD ACCESS PROCEDURE:

Individuals who participate in the
demonstration project may request their
data records in writing. Access
procedure is the same as the notification
procedure. Requestor should reasonably
specify the record contents being sought.
These access procedures are in
accordance with Department
Regulations (45 CFR Part 5b).

CONTESTING RECORD PROCEDURES:

An individual who wishes to contest
the contents of any record in this system
should contact the system manager,
reasonably identify the record, and

specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. These procedures are in accordance with Department Regulations (45 CFR Part 5b).

RECORD SOURCE CATEGORIES:

Sources of information contained in this record system include individual patients, their families and their primary care givers, participating health care facilities and agencies, cooperating Medicare and Medicaid intermediaries and carriers, and selected Medicare and Medicaid enrollment and claim files. Selected social service claim and enrollment information will be abstracted from supplemental security income, public assistance, fuel assistance, Title XX social services, and food stamps.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix A—Operating Long-Term Home Health Care Program

Programs—Upstate Location

Cattaraugus County, Department of Health, Olean, New York—Cattaraugus County
Erie County, Department of Health, Buffalo, New York—Erie County
Onondaga County, Department of Health, Syracuse, New York—Onondaga County
24 Rhode Island Street, Nursing Home Company, Inc., Buffalo, New York—Erie County
Visiting Nurse Association of Central New York

Programs—New York City

Metropolitan Jewish Geriatric Center, New York, New York—Kings County
Montefiore Hospital & Medical Center, New York, New York—Bronx County
St. Vincent's Hospital, Chelsea-Village, New York, New York—New York County
Visiting Nurse Service of New York, New York, New York—Queens County

09-70-0026

SYSTEM NAME:

Study of the Comparative Effectiveness of State Approaches to Regulation of Medicare Supplemental Policies: Medigap HHS/HCFA/ORD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

SRI International, 333 Ravenswood Avenue, Menlo Park, California 94025.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Medicare beneficiaries (age 65 and older) who reside in the eight

participating States and disabled Medicare beneficiaries (under 65) nationwide.

CATEGORIES OF RECORDS IN THE SYSTEM:

Questionnaires administered to approximately 4,800 Medicare beneficiaries. These questionnaires will provide information on each beneficiary concerning sociodemographic characteristics, such as education, knowledge of and experience with Medicare, number and type of private health insurance policies, identifying information about the policies held and purchasing behavior. A copy of each insurance policy will be obtained from the beneficiary if possible or from the insurance company with the policyholder's consent. Questionnaires will show beneficiary name and health insurance claim name (HI claim number) or other unique identifier. Insurance policies will have policyholder's identifying number. The National Center for Health Services Research (NCHSR) questionnaire will be administered to the same study sample of Medicare beneficiaries and will provide information concerning each respondent's knowledge of the risks of needing insurance coverage for long-term care services, the availability of insurance for such risks, the preferences for specific insurance benefits for long-term care and their willingness to pay for those benefits.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

HCFA authority is based on Section 1882 of the Social Security Act as amended by Section 507, paragraphs (f)(1) and (f)(2) of Pub. L. 96-265. NCHSR authority is based on Sections 304 and 305 of the Public Health Service Act, as amended by the Health Services Research, Health Statistics, and Medical Libraries Act of 1974, Pub. L. 93-353, and the Health Services Research, Health Statistics and Health Care Technology Act of 1978, Pub. L. 95-623.

PURPOSE OF THE SYSTEM:

The purpose of this system of records is to provide information on consumers' purchasing behavior, the policies they hold and the circumstances of insurance sales transactions in order to analyze the effectiveness of varying State insurance regulations on:

- Limiting marketing and agent abuse;
- Assuring the dissemination of such information to individuals entitled to benefits under this title (and to other consumers) as is necessary to permit informed choice;
- Promoting policies which provide

reasonable economic benefits for such individuals;

- Reducing the purchase of unnecessarily duplicative coverage; and
- Improving price competition.

The purpose of the disabled beneficiary survey is to provide national estimates of the proportion of this population who have supplemental health insurance.

In addition the NCHSR system of records is to provide information on consumer's knowledge of the risks of needing long-term care, the availability of insurance for such risks, the preference for specific insurance benefits and their willingness to pay for those benefits. This information will be used to contribute to a study of the market potential for private long-term care insurance.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. The contractor will receive all information in the system from beneficiary questionnaires and their health insurance policies either in hard copy, magnetic tape, or cards and store it in a master file. The contractor will use this information to assess the comparative effectiveness of various State regulatory approaches to Medicare supplemental insurance. Once the beneficiary questionnaire information is linked with the health insurance policy information of the beneficiary, all personal identifiers will be removed from the file.

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry which the congressional office makes at the request of that individual.

3. In the event of litigation, where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

The contractor will store records in hard copy and magnetic tape form.

RETRIEVABILITY:

Records are indexed by Health Insurance claim number or other unique identifier.

SAFEGUARDS:

The contractor will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals. Authorized HCFA representatives will, upon request, be granted access to premises where records are kept for the purpose of inspecting physical security arrangements. However, no data will be released with identifying information. For computerized records, the contractor will initiate automated data processing (ADP) system security procedures required by the Department's ADP Systems Manual, Part 6. ADP Systems Security, e.g., use of passwords.

RETENTION AND DISPOSAL:

The contractor will hold hard-copy records, magnetic tapes, and cards until beneficiary specific data are received and compiled. All identifying information and hard-copy will then be destroyed, thus protecting the confidentiality of all information collected. The contractor will retain all records for the life of the contract and then these records will become the custody of the Office of Research and Demonstrations, HCFA. The contractor will not retain any beneficiary based files. Data supplied to HCFA and NCHSR will not include beneficiary identifiers. No data which would possibly identify an individual will be supplied.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and Demonstrations, Health Care Financing Administration, Room 4222, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

NOTIFICATION PROCEDURES:

To determine if a record exists, write to the systems manager at the address indicated above, specifying name, address and health insurance claim number. These notification and access procedures are in accordance with Department Regulations (45 CFR Part 5b).

RECORDS ACCESS PROCEDURES:

Individuals participating in the Survey may request their data records in writing. Access procedure is the same as the notification procedure. Requestor should reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR Part 5b)).

CONTESTING RECORD PROCEDURES:

An individual who wishes to contest the contents of any record in this system should contact the system manager and reasonably identify and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR Part 5b)).

RECORD SOURCE CATEGORIES:

Sources of information contained in this record system include Medicare beneficiaries, insurance companies, survey contractor and subcontractors (if any), and selected HCFA files.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0027

SYSTEM NAME:

Evaluation of the HMO Capitation Demonstrations, HHS/HCFA/ORD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATIONS:

Research Triangle Institute, P.O. Box 12194, Research Triangle Park, North Carolina 27709.

Jurgovan and Blair, Inc., 51 Monroe Street, Rockville, Maryland 20850.

SysteMetrics, Inc., 4520 East-West Highway, Bethesda, Maryland 20014.

Health Care Financing Administration, ORD, Room 1E6 Oak Meadows Building, Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Medicare beneficiaries residing in the following Counties and States: Worcester, Massachusetts; Ingham, Eaton, and Clinton, Michigan; Taylor, Clark, Wood, Marathon, Wisconsin; Anoka, Carver, Dakota, Hennepin, St. Louis, Ramsey, Scott, and Washington, Minnesota; Multnomah, Clackamas, Oregon; Clark, Washington.

CATEGORIES OF RECORDS IN THE SYSTEM:

Demographic characteristics, attitudes toward joining and disenrolling from

HMOs, the influence of supplemental Medicare coverage on HMO enrollment, health status (as measured by administration of a health status inventory), and health care utilization, reimbursements and costs incurred by Medicare beneficiaries enrolled and not enrolled in HMO Medicare demonstration projects.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 402 of the Social Security Amendments of 1967, Pub. L. 90-248, as amended by section 222(b) of the Social Security Amendments of 1972, Pub. L. 92-603, 42 U.S.C. 1395b-1.

PURPOSE:

To provide data necessary to evaluate HCFA's Medicare Capitation Demonstration projects, including information to study the marketing effectiveness of health maintenance organization's enrolling Medicare beneficiaries under the demonstration projects, the potential selection bias in Medicare HMO enrollment that may be associated with an enrollee's health status, and the extent of in and out-of-plan utilization and out-of-pocket expenses incurred by Medicare beneficiaries who are "locked-in" to receiving their health care from a single provider (i.e., HMO).

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. Disclosure of identifiable information may be made to: Jurgovan and Blair, Inc., 51 Monroe Street, Rockville, Maryland 20850 and its subcontractors, Research Triangle Institute, P.O. Box 12194, Research Triangle Park, North Carolina 27709, and SysteMetrics, Inc., 4520 East-West Highway, Bethesda, Maryland to provide overall direction for the evaluation, to collect and analyze survey information, and to link survey data with secondary data bases for analytical purposes, respectively.
2. To a congressional office, from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
3. In event of litigation where the defendant is: (a) The Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to

represent such employee; the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES OF STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

RTI and SysteMetrics will store records in hard copy and magnetic tape form.

RETRIEVABILITY:

Information stored on tape will be retrieved by beneficiary name or other unique identifier assigned by Research Triangle Institute.

SAFEGUARDS:

All records will be retained in secure storage areas accessible only to authorized employees of Research Triangle Institute, Jurgovan and Blair, Inc., and SysteMetrics. All employees of these organizations having access to records have been notified of criminal sanctions for unauthorized disclosure of information on individuals. After the hardcopy and tapes are validated and analyzed by the evaluation contractor and its subcontractors, they will be returned to HCFA.

For computerized records, ADP systems security procedures will be instituted with reference to guidelines contained in the DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g., use of password).

RETENTION AND DISPOSAL:

Hardcopy data collection forms and magnetic data tapes with identifiers will be retained in secure storage areas. The disposal technique of degaussing will be used to strip magnetic tape of all identifying names and numbers in December 1987. Hardcopy will be destroyed at this time.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and Demonstrations, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, S.W., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

Any Medicare beneficiary who participates in this evaluation may request his or her data record in writing. This request should be addressed to the system manager indicated above, specifying name and Medicare number. These notification procedures are in

accordance with Department Regulations (45 CFR Part 5b).

RECORD ACCESS PROCEDURE:

Same as notification procedures. Requester should also reasonably specify the record contents being sought. These access procedures are in accordance with Department Regulations (45 CFR Part 5b).

CONTESTING RECORD PROCEDURES:

Contact the System Manager at the address specified above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. Those procedures are in accordance with Department Regulations (45 CFR Part 5b).

RECORD SOURCE CATEGORIES:

Personal interviews and telephone interviews with Medicare beneficiaries completed by Research Triangle Institute or its authorized designee(s), i.e., survey research firms with which it subcontracts.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0028

SYSTEM NAME:

Study of the Social, Ethical, and Economic Consequences of Medicare Coverage for Heart Transplants; HHS/HCFA/ORD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

The location of the system for the duration of the contract will be: Battelle Human Affairs Research Centers, 4000 N.E. 41st Street, Seattle, Washington 98105. Additional information on the contractor site will be available by writing to the System Manager at the address below.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Heart transplant recipients or their families.

CATEGORIES OF RECORDS IN THE SYSTEM:

Questionnaires administered to approximately 100 living heart transplant recipients and approximately 100 families of deceased heart transplant recipients. These questionnaires will provide information on each transplant patient concerning survival rates, cost of the heart transplant procedure, and the impact of the procedure on the quality of life of the

patient and his/her family. Relevant medical data will also be abstracted from patient medical records maintained at each transplant center.

Questionnaires will show a patient identification number although patient names will not appear on the questionnaires. To the extent that these patients are eligible for and have received Medicare benefits for the treatment of end-stage cardiac disease, these data will also become part of the proposed system of records. Additional data will also be obtained from the four to six participating heart transplant programs. These data include yearly hospital charge data, Medicare cost reports, cost data on equipment, facilities and personnel resources needed to perform transplants, and other similar data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1875 of the Social Security Act.

PURPOSE(S):

To provide information on all aspects of heart transplantation including the cost of transplant procedures and follow-up, the status of patients following transplant, and the implications the End-stage Renal Disease Program has for Medicare coverage of heart transplants.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. The contractor will use this information to assess the potential implications of a possible Medicare decision to pay for heart transplants on the Medicare program, Medicare beneficiaries, and the providers of health care.
2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry which the congressional office makes at the request of that individual.
3. In the event of litigation, where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective

defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Paper and magnetic tape.

RETRIEVABILITY:

Records are indexed by a unique identifier.

SAFEGUARDS:

The contractor will maintain all records in secure storage areas accessible only to authorized employees and will notify all employees having access to records of criminal sanctions for unauthorized disclosure of information on individuals. Authorized HCFA representatives will, upon request, be granted access to premises where records are kept for the purpose of inspecting physical security arrangements. However, no data will be released with identifying information. For computerized records, the contractor will initiate automated data processing (ADP) system security procedures required by the DHHS ADP Systems Manual, Part 6, ADP Systems Security, e.g., use of passwords.

RETENTION AND DISPOSAL:

The contractor will hold hard-copy records, magnetic tapes, and cards until beneficiary specific data are received and integrated. All identifying information and hard-copy records will then be destroyed, thus protecting the confidentiality of all information collected. The contractor will retain all records for the life of the contract and then these records will become the custody of the Office of Research and Demonstrations, HCFA. Data supplied to HCFA will not include individual identifiers. No data which would possibly identify an individual will be supplied.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Research and Demonstrations, Health Care Financing Administration, Room 4228, HHS Building, 330 Independence Avenue, SW., Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

To determine if a record exists, write to the Systems Manager at the address indicated above, specify name, address and patient identification number. These notification and access procedures are in accordance with Department Regulations (45 CFR Part 5b).

RECORDS ACCESS PROCEDURE:

Individuals participating in the survey may request their data records in writing. Access procedure is the same as the notification procedure. Requestor should reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations 45 CFR Part 5b.)

CONTESTING RECORD PROCEDURES:

An individual who wishes to contest the contents of any record in this system should contact the System Manager and reasonably identify and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations 45 CFR Part 5b.)

RECORD SOURCE CATEGORIES:

Sources of information contained in this record system include heart transplant patients, heart transplant centers, survey contractor and subcontractors (if any), and selected HCFA files. For example, data routinely reported on HCFA Form 1453, Inpatient Hospital and Skilled Nursing Facility Admission and Billing Form, will be requested.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0501

SYSTEM NAME:

Carrier Medicare Claims Records, HHS, HCFA, BPO.

SECURITY CLASSIFICATIONS:

None.

SYSTEM LOCATION:

Carriers under contract to the Health Care Financing Administration and the Social Security Administration (see Appendix C, Section 4.)

Federal Records Centers,
Bureau of Quality Control, HCFA,
Office of Systems Analysis, 6325
Security Boulevard, Baltimore,
Maryland 21207

HHS Parklawn Computer Center, 5600
Fishers Lane, Rockville, Maryland 20857.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Beneficiaries who have submitted claims for Supplementary Medical Insurance Benefits (Medicare Part B).

CATEGORIES OF RECORDS IN THE SYSTEM:

Request for Payment; Provider Billing for Patient Services by Physician; Prepayment Plan for Group Medicare

Practices Dealing through a Carrier, Health Insurance Claim Form, Request for Medical Payment, Patient's Request for Medicare Payment, Request for Medicare Payment—Ambulance, Explanation of Benefits, Summary Payment Voucher, Request for Claim Number Verification; Payment Record Transmittal; Statement of Person Regarding Medicare Payment for Medical Services Furnished Deceased Patient; Report of Prior Period of Entitlement; itemized bills and other similar documents from beneficiaries required to support payments to beneficiaries and to physicians and other suppliers of part B Medicare services.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 1842 and 1874 of title XVIII of the Social Security Act (42 U.S.C. 1395u and 1395kk).

PURPOSE:

To properly pay medical insurance benefits to or on behalf of entitled beneficiaries.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to: (1) Claimants, their authorized representatives or representative payees to the extent necessary to pursue claims made under Title XVIII of the Social Security Act (Medicare).

(2) Third-party contacts (without the consent of the individuals to whom the information pertains) in situations where the party to be contacted has, or is expected to have information relating to the individual's capability to manage his or her affairs or to his or her eligibility for or entitlement to benefits under the Medicare program when:

(a) The individual is unable to provide the information being sought (an individual is considered to be unable to provide certain types of information when any of the following conditions exist: individual is incapable or of questionable mental capability, cannot read or write, cannot afford the cost of obtaining the information, a language barrier exists, or the custodian of the information will not, as a matter of policy, provide it to the individual), or

(b) The data are needed to establish the validity of evidence or to verify the accuracy of information presented by the individual, and it concerns one or more of the following: the individual's eligibility to benefits under the Medicare program; the amount of reimbursement; any case in which the evidence is being reviewed as a result of suspected abuse

or fraud, concern for program integrity, or for quality appraisal, or evaluation and measurement of system activities.

(3) Third-party contacts where necessary to establish or verify information provided by representative payees or payee applicants.

(4) The Treasury Department for investigating alleged theft, forgery, or unlawful negotiation of Medicare reimbursement checks.

(5) The U.S. Postal Service for investigating alleged forgery or theft of Medicare checks.

(6) The Department of Justice for investigating and prosecuting violations of the Social Security Act to which criminal penalties attach, or other criminal statutes as they pertain to the Social Security Act programs, for representing the Secretary, and for investigating issues of fraud by agency officers or employees, or violation of civil rights.

(7) The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Acts relating to railroad employment.

(8) Professional Standards Review Organizations in connection with their review of claims, or in connection with studies or other review activities, conducted pursuant to Part B of Title XI of the Social Security Act.

(9) State Licensing Boards for review of unethical practices or nonprofessional conduct.

(10) Providers and suppliers of services (and their authorized billing agents) directly or dealing through fiscal intermediaries or carriers, for administration of provisions of title XVIII.

(11) An individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

(c) Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) Make no further use or disclosure of the record except:

(a) In emergency circumstances affecting the health or safety of any individual,

(b) For use in another research project, under these same conditions, and with written authorization of HCFA,

(c) For disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) When required by law;

d. Secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

(12) State welfare departments pursuant to agreements with the Department of Health and Human Services for administration of State supplementation payments for determinations of eligibility for Medicaid, for enrollment of welfare recipients for medical insurance under section 1843 of the Social Security Act, for quality control studies, for determining eligibility of recipients of assistance under titles IV and XIX of the Social Security Act, and for the complete administration of the Medicaid program.

(13) A congressional office from the record of an individual in response to an inquiry from the congressional office at the request of that individual.

(14) State audit agencies in connection with the audit of Medicare eligibility considerations. Disclosures of physicians' customary charge data are made to State audit agencies in order to ascertain the correctness of Title XIX charges and payments.

(15) In the event of litigation where the defendant is (a) the Department, any component of Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the

Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(16) Peer review groups, consisting of members of State, County, or local medical societies or medical care foundations (physicians), appointed by the medical society or foundation at the request of the carrier to assist in the resolution of questions of medical necessity, utilization of particular procedures or practices, or overutilization of services with respect to Medicare claims submitted to the carrier.

(17) Physicians and other suppliers of services who are attempting to validate individual items on which the amounts included in the annual Physician/Supplier Payment List or similar publications are based.

(18) Senior citizen volunteers working in intermediaries' and carriers' offices to assist Medicare beneficiaries in response to beneficiaries' requests for assistance.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

Records maintained on paper, tape, disc, and punchcards.

RETRIEVABILITY:

System is indexed by health insurance claim number. The record is prepared by the beneficiary and is used by carriers to determine amount of Part B benefits. The bills are retained by the carriers. Copies of selected parts of the records will be used by the Office of Systems Analysis and data will be retrieved in Rockville from Baltimore via dial-up telecommunications lines.

SAFEGUARDS:

Unauthorized personnel are denied access to the records area. Disclosure is limited. Physical safeguards related to the transmission and reception of data between Rockville and Baltimore are those requirements established by the DHHS ADP Systems Manual, Part 6.

RETENTION AND DISPOSAL:

Records are closed at the end of the calendar year in which paid, held two additional years, transferred to Federal

Records Center and destroyed after another 2 years.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing
Administration, Director, Bureau of
Program Operations, 6325 Security
Boulevard, Baltimore, Md. 21207

NOTIFICATION PROCEDURE:

Inquiries and requests for system records should be addressed to the most convenient social security office, the appropriate carrier, the HCFA Regional Office, or to the system manager named above. The individual should furnish his or her health insurance claim number and the name as shown on social security records. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR 5b.6).)

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the records contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

The data contained in these records is furnished by the individual. In most cases, the identifying information is provided to the physician by the individual. The physician then adds the medical information and submits the bill to the carrier for payment.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0502

SYSTEM NAME:

Health Insurance Master Record,
HHS/HCFA/BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing
Administration, Bureau of Support
Services, 6325 Security Blvd., Baltimore,
Md. 21207.

HHS Parklawn Computer Center, 5600
Fishers Lane, Rockville, Maryland 20857.
Federal Records Centers

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals age 65 or over who have been, or currently are, entitled to health insurance (Medicare) benefits under title XVIII of the Social Security Act; individuals under age 65 who have been, or currently are, entitled to such benefits on the basis of having been entitled for not less than 24 months to disability benefits under title II of the Act or under the Railroad Retirement Act and individuals who have been, or currently are, entitled to such benefits because they have end-stage renal disease.

CATEGORIES OF RECORDS IN THE SYSTEM:

The system contains information on enrollment, entitlement, authorization from the Veterans Administration (VA) to receive VA-financed medical services at non-VA facilities Part A (Hospital) and B (Supplementary Medical) utilization, query and reply activity, health insurance bill and payment record processing, and Health Insurance Master Record maintenance.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 1814 and 1833 of title XVIII of the Social Security Act (42 U.S.C. 1395f and 1395l).

PURPOSE(S):

To maintain information on Medicare beneficiary eligibility and costs in order to reply to inquiries from contractors and intermediaries and to maintain utilization data for health insurance bill and payment record processing.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to: (1) The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Act relating to railroad employment.

(2) State Welfare Department pursuant to agreements with the Department of Health and Human Services for determining Medicaid and Medicare eligibility, for quality control studies, for determining eligibility of recipients of assistance under titles IV, XVIII, and XIX of the Social Security Act, and for the complete administration of the Medicaid program.

(3) State audit agencies for auditing State Medicaid eligibility considerations.

(4) Providers and suppliers of services directly or dealing through fiscal intermediaries or carriers for administration of title XVIII.

(5) A congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(6) An individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form.

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

c. Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) Make no further use or disclosure of the record except:

(a) In emergency circumstances affecting the health or safety of any individual,

(b) For use in another research project, under these same conditions, and with written authorization of HCFA,

(c) For disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) When required by law;
d. Secures a written statement attesting to the information recipient's

understanding of and willingness to abide by these provisions.

(7) In the event of litigation where the defendant is: (a) The Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) The United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(8) To a contractor when the Department contracts with a private firm for the purpose of collating, analyzing, aggregating, or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(9) State welfare agencies that require access to the two files which are extracted from the Health Insurance Master Record. These files are the Carrier Alphabetical State File (CASF) and Beneficiary State File (BEST). Most State agencies require access to the CASF and BEST files for improved administration of the Medicaid program. Routine uses of the CASF and BEST files for State agencies are: (a) Obtaining a beneficiary's correct health insurance claim number and (b) screening of pre-payment and post-payment Medicaid claims.

(10) Third-party contacts (without the consent of the individual to whom the information pertains) in situations where the party to be contacted has, or is expected to have information relating to the individual's capability to manage his or her affairs or to his or her eligibility for an entitlement to benefits under the Medicare program when:

(a) The individual is unable to provide the information being sought (an individual is considered to be unable to provide certain types of information when any of the following conditions exist: individual is incapable or of questionable mental capability, cannot read or write, cannot afford the cost of obtaining the information, a language barrier exists, or the custodian of the information will not, as a matter of policy, provide it to the individual,) or

(b) The data are needed to establish the validity of evidence or to verify the

accuracy of information presented by the individual, and it concerns one or more of the following: the individual's eligibility to benefits under the Medicare program; the amount of reimbursement; any case in which the evidence is being reviewed as a result of suspected abuse or fraud, concern for program integrity, or for quality appraisal, or evaluation and measurement of system activities.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records maintained on paper, listings, microfilm, magnetic tape disc and punchcards.

RETRIEVABILITY:

System is in sequence by health insurance claim number, and is used to carry out the tasks of enrollment, query/reply activity, and health insurance bill and payment record processing. Copies of selected parts of the records will be used by the Office of Systems Analysis; data will be retrieved in Rockville from Baltimore via dialup telecommunications lines.

SAFEGUARDS:

Unauthorized personnel are denied access to the records areas. Disclosure is limited to routine use. For computerized records electronically transmitted between Central Office and field office locations (including Medicare contractors), systems securities are established in accordance with DHHS ADP Systems Manual, Part 6, "ADP Systems Security." Safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal oriented transaction matrix, and an audit trail.

RETENTION AND DISPOSAL:

Records are generally added to the file several months prior to entitlement. After the death of a beneficiary, his or her records may be placed in an inactive file following a period of no billing or query activity. The current 5 years of Part B and current 5 spells of Part A utilization data are maintained. All noncurrent data is microfilmed prior to elimination from the system.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Md 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for system records should be addressed to the most convenient social security office, the appropriate carrier or intermediary, the

HCFA Regional Office, or to the system manager named above. The individual should furnish his or her health insurance claim number and name as shown on Medicare records.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7)).

RECORD SOURCE CATEGORIES:

The data contained in these records are furnished by the individual. There are cases, however, in which the identifying information is provided to the physician by the individual; the physician then adds the medical information and submits the bill to the carrier for payment. Updating information is also obtained from the Master Beneficiary Record.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0503

SYSTEM NAME:

Intermediary Medicare Claims Records, HHS, HCFA, BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Intermediaries under contract to the Health Care Financing Administration and the Social Security Administration (See Appendix C, Section 3.)

Federal Records Centers
Bureau of Quality Control, HCFA,
Office of Systems Analysis, 6325
Security Boulevard, Baltimore,
Maryland 21207, HHS Parklawn
Computer Center, 5600 Fishers Lane,
Rockville, Maryland 20857.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Beneficiaries on whose behalf providers have submitted claims for reimbursement on a reasonable cost basis under Medicare Parts A and B.

CATEGORIES OF RECORDS IN THE SYSTEM:

Inpatient Hospital and Skilled Nursing Facility Admission and Billing; Provider Billing for Medical and Other Health Services: Inpatient Admission and Billings—Christian Science Sanatorium: Home Health Agency Report and Billing, and other documents used to support payments to beneficiaries and providers of services. These forms contain the beneficiary's name, sex, health insurance claim number, address, date of birth, medical record number, prior stay information, provider name and address, physician's name, date of admission and discharge, other health insurance, diagnoses, surgical procedures, and a statement of services rendered.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1816 and 1874 of Title XVIII of the Social Security Act (42 U.S.C. 1395h and 1395kk).

PURPOSE(S):

To process and pay Medicare benefits to or on behalf of eligible individuals.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to:

(1) Claimants, their authorized representatives or representative payees to the extent necessary to pursue claims made under title XVIII of the Social Security Act (Medicare).

(2) Third-party contacts without the consent of the individual to whom the information pertains in situations where the party to be contacted has, or is expected to have information relating to the individual's capability to manage his or her affairs or to his or her eligibility for or entitlement to benefits under the Medicare program when:

(a) The individual is unable to provide the information being sought (an individual is considered to be unable to provide certain types of information when any of the following conditions exist: individual is incapable or of questionable mental capability, cannot read or write, cannot afford the cost of obtaining the information, a language barrier exists, or the custodian of the information will not, as a matter of policy, provide it to the individual) or

(b) The data are needed to establish the validity of evidence or to verify the accuracy of information presented by the individual, and it concerns one or more of the following: the individual's eligibility to benefits under the Medicare program; the amount of reimbursement; any case in which the evidence is being reviewed as a result of suspected abuse

or fraud, concern for program integrity, or for quality appraisal, or evaluation and measurement of systems activities.

(3) Third-party contacts where necessary to establish or verify information provided by representative payees or payee applicants.

(4) The Treasury Department for investigating alleged theft, forgery, or unlawful negotiation of Medicare reimbursement checks.

(5) The U.S. Postal Service for investigating alleged forgery or theft of Medicare checks.

(6) The Department of Justice for investigating and prosecuting violations of the Social Security Act to which criminal penalties attach, or other criminal statutes as they pertain to Social Security Act programs, for representing the Secretary, and for investigating issues of fraud by agency officers or employees, or violation of civil rights.

(7) The Railroad Retirement Board for administering provisions of the Railroad Retirement and Social Security Acts relating to railroad employment.

(8) Professional Standards Review Organizations in connection with their review of claims, or in connection with studies or other review activities, conducted pursuant to Part B of Title XI of the Social Security Act.

(9) State Licensing Boards for review of unethical practices or nonprofessional conduct.

(10) Providers and suppliers of services (and their authorized billing agents) directly or dealing through fiscal intermediaries or carriers, for administration of provisions of title XVIII.

(11) An individual or organization for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

a. Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form.

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

c. Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) Make no further use or disclosure of the record except:

(a) In emergency circumstances affecting the health or safety of any individual,

(b) For use in another research project, under these same conditions, and with written authorization of HCFA,

(c) For disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) When required by law;

d. Secures a written statement attesting to the information recipient's understanding of and willingness to abide by the provisions.

(12) State welfare departments pursuant to agreements with the Department of Health and Human Services for administration of State supplementation payments for determination of eligibility for Medicaid, for enrollment of welfare recipients for medical insurance under Section 1843 of the Social Security Act, for quality control studies, for determining eligibility of recipients of assistance under titles IV and XIX of the Social Security Act, and for the complete administration of the Medicaid program.

(13) A congressional office from the record of an individual in response to an inquiry from the congressional office at the request of that individual.

(14) State audit agencies in connection with the audit of Medicaid eligibility considerations.

(15) In the event of litigation where the defendant is (a) the Department, any components of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department may disclose such

records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purposes for which the records were collected.

(16) Senior citizen volunteers working in the intermediaries' and carriers' offices to assist Medicare beneficiaries in response to beneficiaries requests for assistance.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

Records maintained on paper forms, magnetic tape and microfilm.

RETRIEVABILITY:

The system is indexed by health insurance claim number. The record is prepared by the hospital or other provider with identifying information received from the beneficiary to establish eligibility for Medicare and document and support payments to providers by the intermediaries. The bill data are forwarded to the Health Care Financing Administration, Bureau of Support Services, Baltimore, Md., where they are used to update the central office records. Copies of selected parts of the records will be used by the Office of Systems Analysis; data will be retrieved in Rockville from Baltimore via dial-up telecommunications lines.

SAFEGUARDS:

Disclosure of records is limited. The file area is closed to unauthorized personnel. Physical safeguards related to the transmission and reception of the data between Rockville and Baltimore are those requirements established by the DHHS ADP Systems Manual, Part 6.

RETENTION AND DISPOSAL:

Records are closed out at the end of the calendar year in which paid, held 2 more years, transferred to the Federal Records Center and destroyed after another 6 years.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Md. 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for systems records should be addressed to the social security office nearest the requester's residence, the appropriate intermediary, the HCFA Regional Office, or to the system manager named above. The individual should furnish his or her health insurance number and name as

shown on social security records. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR 5b.6).)

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the records contents being sought. (The access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

The identifying information contained in these records is obtained by the provider from the individual; the medical information is entered by the provider of medical services.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0504

SYSTEM NAME:

Beneficiary Part A and B Uncollectible Overpayment File, HHS, HCFA, BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Blvd., Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

The system contains the name of the beneficiary on whose account an overpayment has been made and the name of the physician or supplier to whom the overpayment was made.

CATEGORIES OF RECORDS IN THE SYSTEM:

The file includes completed Medicare claims forms which contain patient's name, sex, claim number, address, date

of birth, date of treatment, diagnosis, and summary of treatment rendered as well as other documents that were used in calculating the existence and amount of overpayment.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1870 of the Social Security Act (42 U.S.C. 1395gg) and Section 3 of the Federal Claims Collection Act of 1966, 30 U.S.C. 952.

PURPOSE(S):

To provide documentation and to control cases involving Medicare beneficiary overpayments which are not collectible.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) to the Department of Justice when civil litigation is involved, (2) to the Internal Revenue Service for investigation of alleged tax fraud, (3) to Professional Standards Review Organizations and State Licensing Boards for review of unethical practices or non-professional conduct. (Further, HCFA may request a credit report on certain physicians or suppliers from whom repayment of an overpayment is requested.) (4) to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual; and (5) in the event of litigation where the defendant is (a) the Department, any components of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Paper files maintained in file cabinets.

RETRIEVABILITY:

The system is indexed by health insurance number.

SAFEGUARDS:

Only authorized personnel are permitted in the file area.

RETENTION AND DISPOSAL:

The files are retained for 3 years.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Blvd., Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for system records should be addressed to the system manager named above and directed to the attention of the Office of Standards and Performance Evaluation, Division of Reimbursement, Recovery, and Reconsideration Evaluation, Reconsideration Evaluation Branch.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Data in these records is obtained from carrier or intermediary billing records.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0505

SYSTEM NAME:

Supplemental Medical Insurance Accounting Collection and Enrollment System. HHS/HCSA/BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing Administration, Bureau of Support Services, 6325 Security Boulevard, Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Health insurance beneficiaries whose supplementary medical insurance

benefit and/or hospital insurance benefit premiums are paid by a third party; a State welfare agency, the U.S. Office of Personnel Management or a private organization.

CATEGORIES OR RECORDS IN THE SYSTEM:

Beneficiary's name, health insurance claim number, date of birth, sex, amount of premium liability, date agency first became liable for HIB (Health Insurance Benefit) of SMIB (Supplemental Medical Insurance Benefit) premiums, last month of agency premium liability, agency identification numbers, Civil Service annuity number for U.S. Office of Personnel Management recipients.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 1840 (d) and (e) and 1843 of title XVIII of the Social Security Act (42 U.S.C. 1395s (d) and (e) and 1395v).

PURPOSE(S):

To process changes to HI/SMI premium payments by third parties (such as State agencies, private groups, Office of Personnel Management) on behalf of Medicare beneficiaries; for billing third parties; and for enrolling individuals for SMI coverage under State buy-in agreements.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to: (1) State welfare departments pursuant to agreements with the Department of Health and Human Services for enrollment of welfare recipients for medical insurance under section 1843 of the Social Security Act. (2) a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual, and (3) in the event of litigation where the defendant is (a) the Department, any component of the Department or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Magnetic tape, microfilm.

RETRIEVABILITY:

The system is indexed by health insurance claim number.

SAFEGUARDS:

Only authorized personnel have direct access to information in the Third-Party Master Record. In addition, all personnel are advised that this information is confidential.

RETENTION AND DISPOSAL:

Tape records are retained for 90 days, filed for 1 year, then erased. Correspondence files are retained for 1 year, then discarded. Monthly microfilm records are destroyed after 1 year.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for system records should be addressed to the system manager named above and directed to the attention of the Office of Methods and Systems, Division of Eligibility Systems. The individual should furnish his or her health insurance claim number and name as shown on Medicare records.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (The access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

The identifying information contained in these records is obtained from third-party agencies, the Social Security Administration, Master Beneficiary Record, and the Health Insurance Master Record.

09-70-0506

SYSTEM NAME:

Group Health Plan System HHS,
HCFA, BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing
Administration, Bureau of Support
Services, 6325 Security Boulevard,
Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Recipients of Part A (Hospital
Insurance) and Part B (supplementary
medical) Medicare services.

CATEGORIES OF RECORDS IN THE SYSTEM:

The system contains information
about a beneficiary's health insurance
entitlement and supplementary medical
benefits usage.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 1833(a)(1)(A), 1866 and 1876
of Title XVIII of the Social Security Act
(42 U.S.C. 1395(a)(1)(A), 1395cc, and
1395mm).

PURPOSE(S):

To maintain a master file of Group
Health Plan members for accounting
control; to expedite the exchange of
data with the Group Health Plans; and
to control the posting of pro-rata
amounts to the Part B deductible of
currently enrolled Group Health Plan
members.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) To a
congressional office from the record of
an individual in response to an inquiry
from the congressional office made at
the request of that individual. (2) In the
event of litigation where the defendant
is (a) the Department, any component of
the Department, or any employee of the
Department in his or her official
capacity; (b) the United States where
the Department determines that the
claim, if successful, is likely to directly
affect the operations of the Department
or any of its components; or (c) any
Department employee in his or her
individual capacity where the Justice
Department has agreed to represent
such employee, the Department may
disclose such records as it deems
desirable or necessary to the
Department of Justice to enable that
Department of present an effective
defense, provided such disclosure is

compatible with the purpose for which
the records were collected.

(3) To an individual or organizations
for a research, evaluation, or
epidemiological project related to the
prevention of disease or disability, or
the restoration or maintenance of health
if HCFA:

a. Determines that the use or
disclosure does not violate legal
limitations under which the record was
provided, collected, or obtained;

b. Determines that the purpose; for
which the disclosure is to be made:

(1) Cannot be reasonably
accomplished unless the record is
provided in individually identifiable
form.

(2) Is of sufficient importance to
warrant the effect and/or risk on the
privacy of the individual that additional
exposure of the record might bring, and

(3) There is reasonable probability
that the objective for the use would be
accomplished;

c. Requires the information recipient
to:

(1) Establish reasonable
administrative, technical, and physical
safeguards to prevent unauthorized use
or disclosure of the record, and

(2) Remove or destroy the information
that allows the individual to be
identified at the earliest time at which
removal or destruction can be
accomplished consistent with the
purpose of the project, unless the
recipient presents an adequate
justification of a research or health
nature for retaining such information,
and

(3) Make no further use or disclosure
of the record except:

(a) In emergency circumstances
affecting the health or safety of any
individual,

(b) For use in another research
project, under these same conditions,
and with written authorization of HCFA,

(c) For disclosure to a properly
identified person for the purpose of an
audit related to the research project, if
information that would enable research
subjects to be identified is removed or
destroyed at the earliest opportunity
consistent with the purpose of the audit,
or

(d) When required by law;

d. Secures a written statement
attesting to the information recipient's
understanding of an willingness to abide
by these provisions.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Magnetic tape and paper listing.

RETRIEVABILITY:

The system is indexed by health
insurance claim number.

SAFEGUARDS:

Only authorized personnel have direct
access to information in the Group
Health Plan system. In addition, Group
Health Plan personnel are advised that
information is confidential.

RETENTION AND DISPOSAL:

Health insurance materials used to
support the accuracy of the charge per
service billed by the plan are retained
for 3 years, then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing
Administration, Director, Bureau of
Program Operations, 6325 Security
Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for system
records should be addressed to the
system manager named above and
directed to the attention of the Group
Health Plan Operations Staff. The
individuals should furnish his or her
health insurance claim number as
shown on social security records.

RECORD ACCESS PROCEDURE:

Same as notification procedures.
Requesters should also reasonably
specify the record contents being sought.
(These access procedures are in
accordance with Department
Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the official at the address
specified under notification procedures
above, and reasonably identify the
record and specify the information to be
contested. State the corrective action
sought and the reasons for the
correction with supporting justification.
(These procedures are in accordance
with Department Regulations (45 CFR
5b.7).))

RECORD SOURCE CATEGORIES:

The identifying information contained
in these records is obtained from the
group health plans (which obtained the
data from the individual concerned).

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0507

SYSTEM NAME:

Health Insurance Utilization
Microfilm HHS, HCFA, BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing
Administration, Bureau of Support
Services, 6325 Security Boulevard,
Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Records are maintained of all
transactions for individuals who are
entitled or have entitled to Medicare
benefits.

CATEGORIES OF RECORDS IN THE SYSTEM:

The system contains transactions
accepted or rejected, and the reason for
such rejection. Transactions are
maintenance type as well as utilization.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1814 and 1833 of Title XVIII of
the Social Security Act (42 U.S.C. 1395f
and 1395l).

PURPOSE:

To provide a history file of
chronological transactions that can be
referenced to verify beneficiary
entitlement to Medicare benefits.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) to a
congressional office from the record of
an individual in response to an inquiry
from the congressional office made at
the request of that individual. (2) In the
event of litigation where the defendant
is (a) the Department, any component of
the Department, or any employee of the
Department in his or her official
capacity; (b) the United States where
the Department determines that the
claim, if successful, is likely to directly
affect the operations of the Department
or any of its components; or (c) any
Department employee in his or her
individual capacity where the Justice
Department has agreed to represent
such employee, the Department may
disclose such records as it deems
desirable or necessary to the
Department of Justice to enable that
Department to present an effective
defense, provided such disclosure is
compatible with the purpose for which
the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Microfilm.

RETRIEVABILITY:

The system is indexed by health
insurance claim number. It is used
primarily to document the Health
Insurance master file and to respond to
inquiries. The Health Insurance
Utilization Microfilm is the history
(audit) trail of Hospital Insurance/
Supplementary Medical Insurance.

SAFEGUARDS:

Requests for microfilm must be
submitted to the Bureau of Support
Services, HCFA.

RETENTION AND DISPOSAL:

Retained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing
Administration, Director, Bureau of
Program Operations, 6325 Security
Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for system
records should be addressed to the
system manager named above. The
individual should furnish his or her
health insurance claim number and
name as shown on social security
records.

RECORD ACCESS PROCEDURES:

The individual can obtain information
on the procedures for gaining access to
and contesting records from the most
convenient social security office or from
the system manager named above.
Requesters should also reasonably
specify the record contents being sought.
(These access procedures are in
accordance with Department
Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the official at the address
specified under notification procedures
above, and reasonably identify the
record and specify the information to be
contested. State the corrective action
sought and the reasons for the
correction with supporting justification.
(These procedures are in accordance
with Department Regulations (45 CFR,
5b.7).))

RECORD SOURCE CATEGORIES:

The identifying information contained
in these records is obtained by the
provider of services from the individual,
from the individual himself or herself, or
from suppliers of services (e.g.,
physicians).

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0508

SYSTEM NAME:

Reconsideration and Hearing Case
Files (Part A) Hospital Insurance
Program HHS, HCFA, BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing
Administration, Bureau of Program
Operations, Office of Standards and
Performance Evaluation, Division of
Reimbursement, Recovery and
Reconsideration Evaluation,
Reconsideration Evaluation Branch,
6325 Security Boulevard, Baltimore,
Maryland 21207.

and Washington National Records
Center, Suitland, Maryland 20409.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals dissatisfied with an initial
or reconsidered determination as to the
amount of benefits payable on the
beneficiary's behalf under the hospital
insurance program who have filed either
an expressed or implied request for
reconsideration.

CATEGORIES OF RECORDS IN THE SYSTEM:

Reconsideration development and
case summary; Part A—review action;
complaint sheet; Request for Hearing;
Request for Reconsideration of Part A
Health Insurance Benefits; and
comparable forms and evidence
furnished by beneficiaries or their
representatives, intermediary action,
correspondence, reconsideration
determination, Administrative Law
Judges' decisions, original bills, Appeals
Council decisions and related
correspondence.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 1812, 1814, 1816, and 1869 of
Title XVIII of the Social Security Act (42
U.S.C. 1395d, 1395f, 1395h, and 1395ff).

PURPOSE(S):

To maintain Part A reconsideration
claims file history for possible further
appeal actions and for monitoring
intermediary performance on a sample
basis.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) To a
congressional office from the record of
an individual in response to an inquiry
from the congressional office made at
the request of that individual. (2) In the
event of litigation where the defendant

is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records maintained in open-shelf file cabinets.

RETRIEVABILITY:

The system is indexed by health insurance claim number.

SAFEGUARDS:

The file is closed to unauthorized personnel. Disclosure of records is limited to routine uses.

RETENTION AND DISPOSAL:

Records are placed in inactive file when final action is taken on the case and closed out at the end of the calendar year in which final action was taken. They are held 1 additional year, transferred to the Washington National Records Center and destroyed after 5 years.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Blvd., Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for system records should be addressed to the system manager named above. The individual should furnish his or her health insurance claim number and name as shown on social security records. The individual can obtain information on the procedures for gaining access to and contesting records from the most convenient social security office or from the system manager named above.

RECORD ACCESS PROCEDURE:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

(These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the system manager named above and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR, 5b.7).)

RECORD SOURCE CATEGORIES:

The information contained in these records is furnished by the beneficiary, his or her representative, or other person requesting a review of the claim and from the reviewing authority (the supplementary health insurance carrier).

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0509

SYSTEM NAME:

Medicare Beneficiary Correspondence Files HHS, HCFA, BPO.

SECURITY CLASSIFICATION

None.

SYSTEM LOCATION:

Health Care Financing Administration, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Medicare beneficiaries and others including Congressional offices and the White House, who correspond with the Health Care Financing Administration, Bureau of Program Operations.

CATEGORIES OF RECORDS IN THE SYSTEM:

Correspondence containing operations related inquiries, complaints, or suggestions received by the Social Security Administration Central Office, and Health Care Financing Administration Central Office or correspondence referred by other Government agencies. Correspondence may contain requests under the Freedom of Information Act when the requests' concerns are under the jurisdiction of the HCFA Bureau of Program Operations (BPO).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 1874 of Title XVIII of the Social Security Act (42 U.S.C. 1395kk).

PURPOSE(S):

Serves as documentation of actions with respect to each inquiry and to assist in responding to simultaneous and subsequent inquiries. Assist BPO staff in analyzing correspondence, in researching needed material, and in identifying major problems and conflicts in existing BPO policy, procedures, and practices.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records maintained in file cabinets.

RETRIEVABILITY:

The system is indexed alphabetically, using the last name of the beneficiary and/or by designated batch number. It is used to control correspondence in connection with Medicare.

SAFEGUARDS:

The file area is closed to unauthorized personnel.

RETENTION AND DISPOSAL:

Correspondence for congressional inquiries is destroyed 1 year after the close of the year in which the records are dated; other correspondence is destroyed within 30 days of completion except where records are required to document a specific claim, reconsideration, appeal, or similar case, the files are treated in accordance with the instructions for the specific file.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing
Administration, Director, Bureau of
Program Operations, 6325 Security
Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for records should be directed to the same address as that with which the correspondence was initiated. The individual can obtain information on the procedures for gaining access to and contesting records from the system manager named above.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

The initial correspondence in these records is prepared by the beneficiary or other inquirers; the response is prepared by the appropriate Health Care Financing Administration component.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0510

SYSTEM NAME:

Alphabetical Name File (folder) of Health Insurance Program Consultants HHS, HCFA, BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing
Administration, Bureau of Program
Operations, 6325 Security Boulevard,
Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who have contracted to provide consultant services to the Administration.

CATEGORIES OF RECORDS IN THE SYSTEM:

Each folder contains the consultant's name, social security number, mailing address, city and state, ZIP Code; total

amount of the consultant's contract and the amount of money billed each month for his or her service.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Social Security Act, Section 1874(b) (42 U.S.C. 1395kk(b)).

PURPOSE(S):

To maintain an accounting of consultant contractors.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department of any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee; the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File Folder.

RETRIEVABILITY:

Name—Comparing actual expenditures against budget.

SAFEGUARDS:

Office is locked during nonworking hours.

RETENTION AND DISPOSAL:

Retain 1 year, then discard.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing
Administration, Office of Management
and Budget, Office of Human Resources
and Administrative Services, 6325
Security Boulevard, Baltimore,
Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for systems records should be addressed to the social security office nearest the

requester's residence, the appropriate intermediary, the HCFA Regional Office, or the system manager named above. The individual should furnish his or her health insurance number and name as shown on social security records. (These notification and access procedures are in accordance with Department Regulations (45 CFR 5b.6).)

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named above and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Original contracts and monthly billings.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0512

SYSTEM NAME:

Review and Fair Hearing Case Files—
Supplementary Medical Insurance
Program, HHS, HCFA, BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Carriers (see Appendix C, Section 4) and Federal Records Centers.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Beneficiary, physician, provider or other supplier of service who is dissatisfied with the carrier's determination denying a request for payment, or with the amount of the payment or with the length of time being taken to process the claim for payment.

CATEGORIES OF RECORDS IN THE SYSTEM:

Claimants' requests for review, relevant written statement of evidence, notice of adverse informal review decisions, requests for hearings to protest adverse decisions, hearings proceedings, hearings officers' final decisions and comparable papers.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 1812 and 1842 of Title XVIII of the Social Security Act (42 U.S.C. 1395d and 1395u).

PURPOSE(S):

To maintain a file for reviewing determinations of Medical insurance claims and related material.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosures may be made: (1) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are maintained in file cabinets.

RETRIEVABILITY:

The records are indexed by health insurance claim number.

SAFEGUARDS:

Disclosure of records is limited to routine uses. The files are closed to unauthorized personnel.

RETENTION AND DISPOSAL:

Records are closed out at the end of the calendar year in which the action (reconsideration, hearing, court review) is completed, held 2 more years, transferred to Federal Records Center and destroyed after another 6 years.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for records should be directed to the most convenient social security office or to the system manager named above. The individual should furnish his or her health insurance claim number and name as shown on social security records. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR 5b.6).)

RECORD ACCESS PROCEDURE:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

The information contained in these records is furnished by the beneficiary requesting reconsideration or his or her authorized representative and from the reviewing authority.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0513

SYSTEM NAME:

Explanation of Medicare Benefit Records HHS, HCFA, BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Intermediaries and carriers (see Appendix C, Sections 3 and 4) and Federal Records Centers.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All recipients of Medicare Part B services and supplies.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medicare supplemental insurance benefits record, Part B home health insurance benefits record. These are explanations of Medicare benefits. They also advise beneficiaries of supplementary medical insurance deductible status.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 205, 226, 1811, and 1832 of Title XVIII of the Social Security Act (42 U.S.C. 405, 426, 1395c, and 1395k).

PURPOSE(S):

To maintain a file of Explanations of Medicare benefits sent to beneficiaries advising them of Medicare payments made on their behalf, and whether the various deductible requirements have been satisfied.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Copies of forms sent to beneficiaries are retained in file cabinets.

RETRIEVABILITY:

The records are indexed by health insurance number. These records are used to advise the beneficiary of the payments made on his or her behalf and whether the various deductibles have been satisfied.

SAFEGUARDS:

Disclosure of records is limited. The file area is closed to unauthorized personnel.

RETENTION AND DISPOSAL:

Closed out at the end of the year in which the benefit was paid or denied; held 1 year, transferred to the Federal Records Center where record is destroyed after 5 years.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Blvd., Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for system records should be addressed to the most convenient social security office (see Appendix F), or to carrier or intermediary who issued the notice.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR Section 5b.7).)

RECORD SOURCE CATEGORIES:

The identifying information is furnished by the beneficiary when requesting payment; the medical procedures are furnished by the physician or provider and the amount of payment and remaining benefits are furnished by the intermediary or carrier.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0516

SYSTEM NAME:

Medicare Physician Supplier Master File HHS/HCF/A/BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Carriers under contract to the Health Care Financing Administration and the

Social Security Administration. (See Appendix C, Section 4.)

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Physicians and suppliers who provide medical services or supplies to Medicare beneficiaries.

CATEGORIES OF RECORDS IN THE SYSTEM:

A compilation of all charges submitted by a physician or supplier for services and supplies to: (1) Derive "reasonable charge" information; (2) determine economic indexes; and (3) to substantiate the basis for payment to beneficiaries, physicians, suppliers and hospitals.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 1833, 1835, 1842 and 1874 of title XVIII of the Social Security Act (42 U.S.C. 1395f, 1395n, 1395u, and 1395kk).

PURPOSE(S):

To determine health care reasonable charges and the geographical area prevailing charges.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Records from this system may be disclosed (1) to a provider, the claimant or a prospective claimant, the name of a physician who has been found ineligible to submit claims under Section 1814(h) (Payment for Posthospital Extended Care Services) or Section 1814(i) (Payment for Posthospital Home Health Services) of Title XVIII of the Social Security Act. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (3) Disclosure may be made to the title XIX State agency or the title XIX fiscal agents of the customary and prevailing charge screens and whatever other information is contained in the file and would be required to determine "reasonable charges" as required under section 103(i)(1) of the Social Security Act. (4) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the

Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are maintained on magnetic tape, microfilm, and hard copy paper.

RETRIEVABILITY:

The records are indexed by physician provider numbers and supplier EIN (employer's identification number). The records are prepared and updated daily by carriers as a basis for determining reasonable charges and area prevailing charges.

SAFEGUARDS:

Disclosure of records is limited to carrier personnel on a need-to-know basis. The files are closed to unauthorized personnel. The determination as to which personnel are authorized will vary slightly in different carrier installations. All carriers have guards at the building entrance to prevent intrusion by individuals not employees or not having business with the carrier. One or more of the following security measures are used within the building: color coded identification cards are used to establish the right of an employee to be in a specific area; cipher locks are used to protect files and computer areas; magnetic identification cards are used to gain access to security sensitive areas; video monitoring of sensitive areas is constant.

RETENTION AND DISPOSAL:

Records are closed out the first quarter following the close of the previous calendar year. Files are retained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration Director, Bureau of Program Operation, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for records information should be directed to the carrier servicing the physician's or supplier's geographical area. Individuals who want to determine if they have a record in this system must provide their full name and address.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should reasonably specify the record contents being sought. (These

access procedures are in accordance with Department regulations (45 CFR 5b.5(a)(2).)

CONTESTING RECORD PROCEDURES:

Contact the Systems Manager at the address specified above and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations, 45 CFR 5b.7.)

RECORD SOURCE CATEGORIES:

Information contained in these records is furnished in part by the individual physicians or supplier and in part abstracted from Medicare Part B billing records.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-07-0517

SYSTEM NAME:

Physician/Supplier 1099 File (Statement for Recipients of Medical and Health Care Payments) HHS/HCFA/BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Carriers and intermediaries under contract to the Health Care Financing Administration and the Social Security Administration (see Appendix C, Section 3, and Section 4.)

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Physician/suppliers to whom Medicare payments have been made by carriers of intermediaries.

CATEGORIES OF RECORDS IN THE SYSTEM:

A record of total Medicare payments made to physicians and suppliers during each calendar year. It contains the name, address and social security number of the physician/provider number of supplier EIN (employer identification number).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

26 U.S.C. 6041 (Internal Revenue Code).

PURPOSE(S):

For periodic reporting to the IRS.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to: (1) This record is disclosable to the Internal

Revenue Service in connection with the determination of the individual's self-employment income. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

The records are maintained on magnetic tape and paper.

RETRIEVABILITY:

The system is indexed by physician/provider number and supplier EIN (employer's identification numbers).

SAFEGUARDS:

Records are maintained in secure storage areas accessible only to authorized personnel.

RETENTION AND DISPOSAL:

The records are retained for 5 years.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for systems records should be directed to the intermediary or carrier who made Medicare payments to the physician/supplier.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

The record of total annual payments made to each physician/supplier is derived from the individual Medicare bill payments.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0518

SYSTEM NAME:

Medicare Clinic Physician Supplier Master File, HHS, HCFA, BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Carriers under contract to the Health Care Financing Administration and the Social Security Administration. (See Appendix C, Section 4.)

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Physicians and suppliers in a clinic who provide medical services or supplies to Medicare beneficiaries.

CATEGORIES OF RECORDS IN THE SYSTEM:

A compilation of all charges submitted by a clinic physician or supplier for services or supplies to (1) derive "reasonable charge" information; (2) determine economic indexes; and (3) to substantiate the basis for payment to beneficiaries, physicians suppliers, and hospitals.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 1833, 1835, 1842 and 1874 of title XVIII of the Social Security Act (42 U.S.C. 1395l, 1395n, 1395u, and 1395kk).

PURPOSE(S):

To determine Medicare reimbursement rates from physician and supplier charge patterns.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to: (1) Professional Standards Review Organizations and State Licensing Boards for review of unethical practices

or nonprofessional conduct; (2) A HCFA contractor for research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA.

a. Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;

b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form,

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring; and
(3) There is reasonable probability that the objective for the use would be accomplished;

c. Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research of health nature for retaining such information, and

(3) Make no further use or disclosure of the record except:

(a) In emergency circumstances affecting the health or safety of any individual.

(b) For use in another research project, under these same conditions, and with written authorization of HCFA,

(c) For disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) When required by law;

d. Secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

(3) HCFA health insurance program review teams; (4) a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual; (5) in the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the

Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained on magnetic tape, microfilm, and hard copy paper.

RETRIEVABILITY:

The records are indexed for individual identification by clinic physician provider numbers and supplier EIN (employer's identification number). The records are prepared and updated daily by carriers as a basis for determining reasonable charges and area prevailing charges.

SAFEGUARDS:

Disclosure of records to carrier personnel is limited to a need-to-know basis. The files are closed to unauthorized personnel. The determination as to which personnel are authorized will vary slightly in different carrier installations. All carriers have guards at the building entrance to prevent intrusion by individuals not employees or not having business with the carrier. One of more of the following security measures are used within the building: Color coded identification cards are used to establish the right of an employee to be in a specific area; cipher locks are used to protect files and computer areas; magnetic identification cards are used to gain access to security sensitive areas; videomonitoring of sensitive areas is constant.

RETENTION AND DISPOSAL:

Records are closed out the first quarter following the close of the previous year. Files are retained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Bureau of Program Operations, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for records information should be directed to the carrier servicing the clinic physician's or supplier's geographical area. Individuals who want to determine if they have a record in this system must provide their full name and address.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under System Manager above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations, 45 CFR 5b.7.)

RECORD SOURCE CATEGORIES:

Information contained in these records is furnished in part by the individual clinic physician or supplier and in part abstracted from Medicare part B billing records.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0520

SYSTEM NAME:

End Stage Renal Disease (ESRD) Program Management and Medical Information System (Registry) HHS, HCFA.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing Administration, Bureau of Support Services, Office of Administrative Systems, Division of Program Management Systems, ESRD Systems Branch, 6325 Security Boulevard, Baltimore, Maryland 21207.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Persons with end-stage renal disease who receive Medicare benefits.

CATEGORIES OF RECORDS IN THE SYSTEM:

Health and medical record data; Medicare billing information including charges and amounts reimbursed; physician characteristics; demographic data on beneficiaries; survival

characteristics on some successful transplant patients beyond the entitlement period; ESRD facility approval data; ESRD facility demographic characteristics; ESRD facility cost information; and ESRD facility treatment surveys.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 226A, 1875, and 1881 of the Social Security Act (42 U.S.C. 426-1, 1395f, and 1395rr.).

PURPOSE:

To meet and operationalize statutory requirements, of Sec. 2991, Pub. L. 92-603; to support State and local ESRD programs and legislative requirements; and to support Federal research and public service programs and effective State, local and other planning activities.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to: (1) A congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

(2) Organizations deemed qualified by the Health Care Financing Administration to carry out quality assessment, medical audits of utilization review.

(3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(4) A record from this system of records may be disclosed as a "routine use" to a recipient for a research purpose, if the Department:

- Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;
- Determines that the research purpose for which the disclosure is to be made—(1) cannot be reasonably accomplished unless the record is provided in individually identifiable

form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

c. Requires the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

d. Secures a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Electronic medium; selected hard copy backup, and microfilm.

RETRIEVABILITY:

Data indexed by Health Insurance Claim number, patient name and facility number. Individual patient and statistical data provided to Health Care Financing Administration, the National Institutes of Health and local Medical Review Boards, statistical data provided to other governmental units and the general public.

SAFEGUARDS:

Restricted access to all areas where data are maintained and processed, hard copy data stored in locked files in secured area, terminal access controlled by user ID and keywords. Access to personal data restricted to those authorized to work with those data. For computerized records, safeguards established in accordance with DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g., security codes) will be used, limiting access to authorized personnel.

RETENTION AND DISPOSAL:

Hard copy destroyed after 1 year by shredding; all other information maintained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Bureau of Support Services, HCFA, Office of Administrative Systems, Division of Program Management Systems, ESRD Branch, 6325 Security Boulevard, Baltimore, Maryland 21207

NOTIFICATION PROCEDURE:

Same as system manager. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR 5b.6).)

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Applications for Medicare, ESRD medical evidence reports, patient records at ESRD treatment facilities, death notifications, Health Care Financing Administration Medicare Master Files, aggregate ESRD facility treatment surveys; ESRD facility cost information; and ESRD facility approval characteristics.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0521

SYSTEM NAME:

Medicare Beneficiary Claims for Emergency Services HHS, HCFA, BPO

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Health Care Financing Administration
Regional Offices (see Appendix C,
Section 2.)

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Medicare beneficiaries who file for
Medicare Part A emergency claim
reconsideration desiring coverage of
nonparticipating hospital charges.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical information and associated
charge data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Social Security Act Sections 1814 (d)
and (f) (42 U.S.C. 1395f (d) and (f)).

PURPOSES:

To determine whether services were
medically necessary on an emergency
basis.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) To a
congressional office from the record of
an individual in response to an inquiry
from the congressional office made at
the request of that individual, (2) In the
event of litigation where the defendant
is (a) the Department, any component of
the Department, or any employee of the
Department in his or her official
capacity; (b) the United States where
the Department determines that the
claim, if successful, is likely to directly
affect the operations of the Department
or any of its components; or (c) any
Department employee in his or her
individual capacity where the Justice
Department has agreed to represent
such employee, the Department may
disclose such records as it deems
desirable or necessary to the
Department of Justice to enable that
Department to present an effective
defense, provided such disclosure is
compatible with the purpose for which
the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders, log book-in emergency
claims file drawers.

RETRIEVABILITY:

The system is indexed by health
insurance claim number.

SAFEGUARDS:

Records are in locked file drawers.
Personnel are instructed on information
confidentiality. Access to claim folders
restricted to authorized personnel.

RETENTION AND DISPOSAL:

Number of years held at HCFA:
information file folders are held one
week to six months before being
returned to originating source. Other
records kept indefinitely. Number of
years held at Federal Records Center
before disposal: not applicable.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration
Director, Bureau of Program Operations,
6325 Security Blvd., Baltimore, Md.
21207

NOTIFICATION PROCEDURE:

Same as system manager. An
individual who requests notification of
or access to a medical/dental record
shall, at the time the request is made,
designate in writing a responsible
representative who will be willing to
review the record and inform the subject
individual of its contents at the
representative's discretion. (These
notification and access procedures are
in accordance with Department
Regulations (45 CFR 5b.6).)

RECORD ACCESS PROCEDURES:

Same as notification procedures.
Requesters should also reasonably
specify the record contents being sought.
(These access procedures are in
accordance with Department
Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the system manager named
above, and reasonably identify the
record and specify the information to be
contested. State the corrective action
sought and the reasons for the
correction with supporting justification.
(These procedures are in accordance
with Department Regulations (45 CFR
5b.7).)

RECORD SOURCE CATEGORIES:

Medicare claims forms and supporting
information; portions of medical records
from nonparticipating hospitals; other
pertinent medical and emergency room
records; physician statements;
statements of HHS personnel authorized
to handle the claims; information and
requests from representatives of the
beneficiaries for reconsideration of
claims decisions.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-0522

SYSTEM NAME:

Billing and Collection Master Record
System HHS/HCFA/BPO.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Bureau of Program Operations, HCFA,
6325 Security Blvd., Baltimore, Maryland
21207

Bureau of Support Services, HCFA,
6325 Security Blvd., Baltimore, Maryland
21207

Office of User Requirements and
Validations, SSA, 6401 Security Blvd.,
Baltimore, Maryland 21235.

Social Security Administration
Program Service Centers

Division of International Operations
(see Appendices A and B at the end of
the notices for the Social Security
Administration)

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

This system contains records of all
retirement, survivors, disability, or
health insurance beneficiaries entitled
to hospital insurance and/or
supplementary medical insurance who
are, or have been, subject to direct
billing for insurance premiums. This
includes individuals who: (1) are
currently being billed directly for
insurance premiums; and (2) are not
currently in direct billing status but have
either a premium arrearage (or
overpayment) of record or were at one
time in direct billing status. It does not
contain a record of any hospital or
supplementary medical insurance
enrollee who has had premiums
deducted from monthly benefits or paid
through a third party payer arrangement
continuously from the initial month of
entitlement.

CATEGORIES OF RECORDS IN THE SYSTEM:

It contains identifying information as
well as information regarding
entitlement to hospital or supplementary
medical insurance, current address
information, individual records of
premium, payments, premium
adjustments, refunds of excess
payments, and current amounts due.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 1840(e) and 1871 of the Social
Security Act (42 U.S.C. 1395s(e) and
1395hh).

PURPOSE(S):

To provide a master record of billing
and collection for all retirement,
survivors, disability, and health
insurance beneficiaries entitled to
hospital insurance and/or
supplementary medical insurance who
are, or have been, subject to direct
billing for Medicare insurance

premiums. Monthly record updates are provided to the Social Security Administration.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made: (1) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. (2) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

(3) To a "lock box" contractor. An extract of this file (name, address, claim numbers, premium liability, period of liability, and termination date, when necessary) will be provided in order to (a) print and release the Medicare premium bills, (b) process the returned remittance in a secure "lock box" operation, and (c) prepare a transaction tape for transmission to HCFA. ("Lock box" is a remittance process performed under security to assure non-access to remittance information by unauthorized personnel or the public.)

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Primary record storage is by magnetic tape and disk. Monthly updates of the record are also provided to the Social Security Administration in microform records.

RETRIEVABILITY:

Magnetic tape, disk and microform records are indexed by social security number, or claim account numbers, it is used to: (1) generate monthly and quarterly premium billing notices; (2) record and process premium payments and adjustments; (3) refund excess premium payments; (4) terminate hospital and/or supplementary medical insurance coverage for non-payment of premiums; (5) reverse termination

actions; (6) maintain a history of premium payments, adjustments, or other events which alter the billing status; and (7) provide up-to-date premium and billing information to Health Care Financing Administration and Social Security Administration clerical and electronic operations. Information is used to respond to specific beneficiary inquiries or to facilitate the proper adjustment of social security benefit payments. Information is also accessed electronically by social security benefit programs for the proper adjustment of payment amounts.

SAFEGUARDS:

Magnetic tape, and disk records are protected through standard security measures used for all of Social Security Administration's computer records: microform records are subject to the same rules and security as all other information in Social Security Administration relating to claims and beneficiary records: limited access to Social Security Administration offices; limited employee access to need to know.

RETENTION AND DISPOSAL:

Microfilm and tape records can routinely be sent to the Federal Records Center after 2 years. However, since this record is updated monthly, even though the physical records are released to the Federal Records Center, current record will contain full history of all transactions. An inactive tape file, i.e., a file containing the records of cases where the enrollee has died, been in payment status for 2 or more years, etc., is maintained in each program service center. This file currently has no disposal schedule.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Bureau of Program Operations, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

In order to ascertain whether or not this system contains information about him/her, an individual should contact the most convenient social security office and provide health insurance claim number as shown on Medicare health insurance card.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. These access procedures are in accordance with DHHS Regulations, 45 CFR Part 5b.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. These procedures are in accordance with DHHS Regulations, 45 CFR Part 5b.

RECORD SOURCE CATEGORIES:

The identification and entitlement/termination information for this system is extracted from Social Security Administration's Master Beneficiary Record. All other information is compiled from the individual's premium billing and payment histories.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-1504

SYSTEM NAME:

Physical Therapists Proficiency Answer Sheets and Test Results (Medicare) HHS/HCFA/HSQB.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Test Results: Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207 and Regional Federal Records Center.

Answer Sheets: Psychological Corporation, 757 3rd Avenue, New York, N.Y. 10017.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Physical Therapists.

CATEGORIES OF RECORDS IN THE SYSTEM:

Answer Sheets. Examination scores.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Social Security Act Section 1123 (42 U.S.C. 1320a-2).

PURPOSE(S):

Upon written request, to reissue a new card to those who pass the physical therapist proficiency test, for reasons such as change of name or loss of a card, or to provide information to examinees concerning their test results.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) Answer sheets are used to score results of the examination and if applicable to revalidate results. Lists showing by States the names and addresses of individuals who passed or

failed are sent to Regional Health Care Financing Administrators, HCFA Regional Offices. They are instructed to make the lists available to the appropriate State Health Department. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Computer generated listings are filed by discipline, by State, in file folders.

RETRIEVABILITY:

Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

SAFEGUARDS:

Files are maintained in a combination lock file cabinet, in a secured building. For computerized records, safeguards are established in accordance with Department guidelines in the DHHS ADP System Manual, Part 6, "ADP Systems Security," (e.g., security codes) and will be used limiting access to authorized personnel.

RETENTION AND DISPOSAL:

Lists are to be retained through FY 1981. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by incineration or shredding. Answer sheets are retained until completion of contract and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Health Standards and Quality Bureau, Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207.

NOTIFICATION PROCEDURE:

Same as system manager.

RECORD ACCESS PROCEDURE:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the

correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Scored Examinations.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-1505

SYSTEM NAME:

Psychiatric Technician Proficiency Answer Sheets and Test Results (Medicare) HHS/HCFA, HSQB

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Test Results: Health Standards and Quality Bureau, HCFA, Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207 and Regional Federal Records Center.

Answer Sheets: National League of Nursing, 10 Columbus Circle, New York, N.Y. 10019.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Psychiatric technicians.

CATEGORIES OF RECORDS IN THE SYSTEM:

Answer sheets Examination scores.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Social Security Act Section 1123 (42 U.S.C. 1320a-2).

PURPOSE(S):

Upon written request, to reissue a new card to those who pass the psychiatric technician proficiency test, for reasons such as change of name or loss of a card, and to provide information to examinees concerning their test results.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) Lists showing by States the names and addresses of individuals who passed or failed are sent to Director, Health Standards Quality Bureau. They are instructed to make the lists available to the appropriate State Health Department. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Computer generated listings are filed by discipline, by State, in file folders.

RETRIEVABILITY:

Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

SAFEGUARDS:

Files are maintained in a combination lock file cabinet in a secured building. For computerized records, safeguards established in accordance with DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g., security codes) will be used, limiting access to authorized personnel.

RETENTION AND DISPOSAL:

Lists are to be retained through FY 1981. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy by incineration or shredding.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Health Standards and Quality Bureau, Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207.

NOTIFICATION PROCEDURES:

Same as system manager.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record content being sought (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Scored Examinations.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-1507

SYSTEM NAME:

Waivered Licensed Practical Nurse Proficiency Exam Answer Sheets and Test Results (Medicare) HHS/HCFA/HSQB.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Test Results: Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207 and Regional Federal Records Center.

Answer Sheets: National League of Nursing, 10 Columbus Circle, New York, NY 10019.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Licensed Practical Nurses.

CATEGORIES OF RECORDS IN THE SYSTEM:

Answer sheets. Examination scores.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Social Security Act Section 1123 (42 U.S.C. 1320a-2).

PURPOSE(S):

These answer sheets indicate examination results and the lists indicate only pass or fail, and are used to advise an individual concerning his or her test results, upon written request.

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

Uses—Answer sheets are used to score results of the examination and if applicable to revalidate results. Lists showing by States the names and addresses of individuals who passed or failed are sent to the Regional Health Care Financing Administrators, HCFA, Regional Offices. They are instructed to make the lists available to the appropriate State health Department. (2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE**

Computer generated listings are filed by discipline, by State, in file folders.

RETRIEVABILITY:

Listings and answer sheets are by examination, State, examinee's name and address, and examination number.

SAFEGUARDS:

Files are maintained in a combination lock file cabinet, in a secured building. For computerized records, safeguards established in accordance with DHHS ADP Systems Manual, Part 6, "ADP Systems Security," (e.g. security codes) will be used, limiting access to authorized personnel.

RETENTION AND DISPOSAL:

Lists are to be retained through FY 1981. They will then be filed at Federal Records Center for a period of three years. If at the expiration of that time the records are no longer of use, FRC will be authorized to destroy them by incineration or shredding. Answer sheets are retained until completion of contract and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Health Standards and Quality Bureau, Dogwood East Building, 6325 Security Boulevard, Baltimore, MD 21207.

NOTIFICATION PROCEDURE:

Same as system manager.

RECORD ACCESS PROCEDURES:

Same as notification procedure. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2).)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department Regulations (45 CFR 5b.7)).

RECORD SOURCE CATEGORIES:

Scored examinations.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-1509

SYSTEM NAME:

Complaint Files on Nursing Homes HHS/HCFA/HSQB/DLTC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Boston
Health Standards and Quality Division, HCFA HHS Region I,

Room 1301, John F. Kennedy Federal Office Building, Boston, Massachusetts 02203

New York

Health Standards and Quality Division, HCFA HHS Region II, Room 3821, 26 Federal Plaza, New York, New York 10007

Philadelphia

Health Standards and Quality Division, HCFA HHS Region III, P.O. Box 8450, 3535 Market Street, Philadelphia, Pennsylvania 19101

Atlanta

Health Standards and Quality Division, HCFA HHS Region IV, Room 523, 101 Marietta Tower, Atlanta, Georgia 30323

Chicago

Health Standards and Quality Division, HCFA HHS Region V, 175 West Jackson, Room 941, Chicago, Illinois 60604

Dallas

Health Standards and Quality Division, HCFA HHS Region VI, 23rd Floor, 1200 Main Tower Building, Dallas, Texas 75202

Kansas City

Health Standards and Quality Division, HCFA HHS Region VII, 601 East 12th Street, Kansas City, Missouri 64106

Denver

Health Standards and Quality Division, HCFA HHS Region VIII, 1961 Stout Street, Room 581, Denver, Colorado 80294

San Francisco

Health Standards and Quality Division, HCFA HHS Region IX, 21st Floor, 100 Van Ness Avenue, San Francisco, California 94102

Seattle

Health Standards and Quality Division, HCFA HHS Region X, Arcade Plaza, 1321 Second Avenue, Mail Stop 701, Seattle, Washington 98101

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Persons who make complaints on nursing homes certified under Titles XVIII (Medicare) and XIX (Medicaid) of the Social Security Act.

CATEGORIES OF RECORDS IN THE SYSTEM:

Correspondence from complainant, copies of HHS response, or notation of referral to relevant State agency.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 1861(j), 1864, and 1866 of Title XVIII and sections 1902(a)(9), (26), (28), and (33) of Title XIX of the Social Security Act. (42 U.S.C. 1395x(j), 1395aa,

1395cc, and 1396a(a)(9), (26), (28), and (33))

PURPOSE(S):

To maintain a file that documents action taken with respect to each complaint received.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Paper files.

RETRIEVABILITY:

Indexed alphabetically by name of complainant. Used by staff of the Health Standards and Quality Bureau to answer correspondence, to check on complaints, and to initiate corrective action as necessary. Statistical information submitted to HCFA, Baltimore.

SAFEGUARDS:

Authorized personnel only.

RETENTION AND DISPOSAL:

Retained two years or until complaint file closed, whichever is longer. Destroyed by shredding or incinerating.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration Director, Division of Long Term Care, Office of Standards and Certification, HSQB, 6325 Security Boulevard, Baltimore, MD 21207.

NOTIFICATION PROCEDURE:

Same as above. Individual should contact Regional Office serving State in which nursing home about which a complaint was filed is located.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)).)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance

with Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

Letters from complainants, state agencies handling follow-up, staff investigative reports on nursing home.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-1510

SYSTEM NAME:

Professional Qualification Files, HHS/HCFA/HSQB.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

(1) HCFA Regional Directors (See Appendix C, Sect. 2).

(2) The State Agencies listed below for the indicated file categories:

Bureau of Licensing and Certification, 654 State Office Building, Montgomery, AL 36130 (1)(2)(9).

Department of Health and Social Services, Pouch H, Space H 06-G, Juneau, AK 99811 (1)(2).

LBJ Tropical Medical Center, Government of American Samoa, Pago Pago, American Samoa 96799 (1).

Department of Health Services, 1740 West Adams, Phoenix, AZ 85007 (1)(2)(3).

Hospital Division, Department of Health, 4815 West Markham, Little Rock, AR 72201 (1)(2).

Department of Health, 714 P Street, Sacramento, CA 95814 (1)(3).

Colorado Department of Health, 5210 East 11th Street, Denver, CO 80220 (1)(2)(11).

State Department of Health, 79 Elm Street, Hartford, CT 06115 (1)(16).

Division of Public Health, 3000 Newport Gap Pike, Wilmington, Delaware 19808 (1)(2)(3).

Department of Health and Rehabilitative Services, P.O. Box 210, Jacksonville, FL 32231 (1)(3).

Standards License Unit, 618 Ponce de Leon Avenue, NE., Atlanta, GA 30308 (1)(2)(3)(8).

Department of Health and Social Services, P.O. Box 2816, Agana, Guam 96910 (1).

State Department of Health, P.O. Box 3378, Honolulu, HI 96801 (1)(3)(4).

Department of Health and Welfare, 700 W. State Street, Boise, ID 83720 (1)(2).

Office of Health Facilities and Quality of Care, 525 West Jefferson Street, Springfield, IL 62761 (1)(2).

Indiana State Board of Health, 1330 West Michigan, Indianapolis, IN 46206 (1)(2).

Health Facilities Licensure Program, State Department of Health, Lucas State Office Building, Des Moines, IA 50319 (1)(2)(3)(4).

State Department of Health and Environment, Building 740, Forbes Air Station, Topeka, KS 66620 (1)(2).

Division for Licensing and Regulation, 275 East Main Street, D.H.R. Building, Frankfort, KY 40601.

Louisiana Health and Human Resources Administration, P.O. Box 3767, Baton Rouge, LA 70821 (1)(2)(3).

Department of Human Services, 99 Western Avenue, Augusta, ME 04333 (1)(2)(3).

District Health Officer, Arman Ishoda Hospital, Majuro, Marshall Islands 96960 (1).

Department of Public Health, 80 Boylston Street, Boston, MA 02116 (1)(2).

Division of Health Facility Standards and Licensing, Department of Public Health, 3500 North Logan, Lansing, MI 48914 (1)(3).

Health Systems Division, Minnesota Department of Health, 717 Delaware Street SE., Minneapolis, MN 55440 (1)(2)(3).

State Board of Health, Box 1700, Jackson, MS 39205.

State Division of Health, Broadway, State Office Building, P.O. Box 570, Jefferson City, MO 65102 (1)(3).

Department of Health and Environmental Services, Cogswell Building, Helena, MT 59601 (1)(2)(4) (5) (6) (7) (8) (9) (12) (13) (14).

State Health Department, 301 Centennial Mall South, P.O. Box 95007, Lincoln, NE 68509 (1) (2).

Bureau of Health Facilities, 505 East King Street, Carson City, NV 89710 (1) (2) (3) (5).

Division of Public Health Services, 61 South Spring Street, Concord, NH 03055 (1) (2) (3).

Department of Health, American Bridge Building, 501 John Fitch, Trenton, NJ 08611. (2)

Federal Program Certification Section, P.O. Box 2348, State Securities Building, Santa Fe, NM 87501 (1)(2)(3).

Department of Health, Tower Building, Empire State Tower Building, Albany, NY 12237 (1) (3).

Division of Facility Services, Licensure and Certification Section, P.O. Box 12200, Raleigh, NC 27607.

State Department of Health, 1200 Missouri Avenue, Room 302, Bismarck, ND 58505 (1) (2) (9).

Department of Health, 246 N. High Street, Columbus, OH 43215 (1) (2).

Health Facilities Service, Department of Health, Northeast 10th and Stonewall Street, P.O. Box 53551, Oklahoma City, OK 73152 (1) (2) (3).

Office of Health Facilities Services, Department of Human Resources, P.O. Box 231, Portland, OR 97207 (1) (2).

Office of Quality Assurance, PA Department of Health, P.O. Box 80, Harrisburg, PA 17120.

Office of Certification and Licensure of Health Facilities, Road No. 2, Bay Amon, PR 00619 (3).

Division of Licensure and Construction, Department of Health, 75 Davis Street, Providence, RI 02908 (1) (2) (3) (7) (8) (10) (14).

Bureau of Health Licensing and Certification, Department of Health and Environmental Control, J Marion Sims Building, 26 O Bull Street, Columbia, SC 29201 (1) (2) (3) (7) (8) (10) (14).

Resource Development Program, South Dakota Health Department, Joe Foss Building, Pierre, South Dakota 57501.

Office of Quality Assurance, 490 Capitol Hill Building, Nashville, TN 37219.

State Department of Health, 1100 West 49th Street, Austin, TX 78756 (1) (2) (3).

Division of Health, Medical Care and Facilities Branch, 150 W. North Temple, P.O. Box 2500, 44 Medical Drive, Salt Lake City, UT 84110 (1) (2) (4) (5) (6) (7) (8) (9) (14) (15).

Department of Health, 115 Colchester Avenue, Burlington, VT 0401 (1) (2) (4) (5) (6) (7) (8) (9).

Department of Health, James Madison Building, 109 Governor Street, Richmond, VA 23219 (1) (2) (3).

Mail Stop LJ-11, Olympia, WA 98504 (3).

Health Facilities Evaluation Program, 1800 Washington Street, Charleston, WV 25305 (1) (2).

Bureau of Quality Compliance, One West Wilson Street, Madison, WI 53702 (1) (2).

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Certain professional individuals who are employed in hospitals and clinical laboratories, or who are self-employed providing therapy and medical services who have taken proficiency examinations.

CATEGORIES OF RECORDS IN THE SYSTEM:

The system contains information on the academic and experience qualifications and social security numbers of individuals working in hospitals or clinical laboratories; the names, addresses, and license numbers of professional self-employed persons providing therapy and other medical services and their eligibility to participate in the Medicare program; whether individuals who took proficiency examinations have passed or failed. Records maintained differ from State to State. The State agencies listed under System Location are followed by numbers indicating which of the following categories are recorded.

- Physical Therapists (1).
- Chiropractor (2).
- Laboratory Personnel (3).
- Licensed Practical Nurse (4).
- Licensed Administrators (5).
- Registered Nurses (6).
- Occupational Therapists (7).
- Dietitians (8).
- Consultant Physicians (9).
- Pharmacists (10).
- Clinical Psychologists (11).
- Audiologists (12).
- Speech Pathologists (13).
- Social Work Consultants (14).
- Dentists (15).
- Portable X-Ray Providers (16).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Social Security Act, Section 1123 (42 USC 1320a-2)

PURPOSE(S):

To maintain a file containing academic and experience of professional medical personnel to assure that qualifications are adequate for providing Medicare services.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

(1) A HCFA contractor for a research, evaluation, or epidemiological project related to the prevention of disease or disability, or the restoration or maintenance of health if HCFA:

- a. Determines that the use or disclosure does not violate legal limitations under which the record was provided, collected, or obtained;
- b. Determines that the purpose for which the disclosure is to be made:

(1) Cannot be reasonably accomplished unless the record is provided in individually identifiable form.

(2) Is of sufficient importance to warrant the effect and/or risk on the privacy of the individual that additional exposure of the record might bring, and

(3) There is reasonable probability that the objective for the use would be accomplished;

c. Requires the information recipient to:

(1) Establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and

(2) Remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the project, unless the recipient presents an adequate justification of a research or health nature for retaining such information, and

(3) Make no further use or disclosure of the record except:

(a) In emergency circumstances affecting the health or safety of any individual,

(b) For use in another research project, under these same conditions, and with written authorization of HCFA,

(c) For disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or

(d) When required by law;

d. Secures a written statement attesting to the information recipient's understanding of and willingness to abide by these provisions.

(2) To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(3) To State officials and employees to the extent necessary or appropriate to carry out their functions under agreements with the Health Care Financing Administration.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records maintained on paper files in metal filing cabinets.

RETRIEVABILITY:

System is indexed by name of individual, listed alphabetically.

SAFEGUARDS:

Disclosure of records is limited to State agency and Medicare personnel on a need-to-know basis. The files are closed to unauthorized personnel. File cabinets where records are stored are locked when not in use and at close of

business. Keys are kept by authorized personnel only.

RETENTION AND DISPOSAL:

Records are maintained for 5 years after becoming inactive, and are then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Health Care Financing Administration, Director, Health Standards and Quality Bureau, Dogwood East Building, 6325 Security Boulevard, Baltimore, Maryland 21207.

NOTIFICATION PROCEDURE:

Inquiries and requests for records should be directed to the HCFA Regional Director (See Appendix C, Section 2) or the appropriate State agency (See System Location). The individual should furnish his or her name, address, social security number, and the specific category file he or she wishes to access. Information on the procedures for gaining access to and contesting records may be obtained from the HCFA Regional Director. These notification procedures are in accordance with HHS Regulations (45 CFR 5b.5).

RECORD ACCESS PROCEDURES:

Same as notification procedures. (These access procedures are in accordance with the Department Regulations (45 CFR 5b.5(a)(2).))

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with the Department Regulations (45 CFR 5b.7).)

RECORD SOURCE CATEGORIES:

The information contained in these records is furnished by the individual or his or her employing entity (hospital or medical clinic).

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-70-2002

SYSTEM NAME:

HCFA Program Integrity/Program Validation Case Files HHS/HCFA/BQC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

HCFA Bureau of Quality Control, Office of Program Validation, 6325 Security Boulevard, Baltimore, Md. 21207, or HCFA Regional Office locations (see Appendix C, Section 2), and Federal Records Centers.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Persons or entities alleged to have violated the provisions of the Social Security Act related to the Medicare (title XVIII) or Medicaid (title XIX) program or other criminal statutes as they pertain to Social Security Act programs where substantial basis for criminal prosecution exists, defendants in criminal prosecution cases, or persons or entities alleged to have abused the Medicare or Medicaid program. This last category of individuals would, for example, include persons or entities alleged to have rendered unnecessary services to medicare beneficiaries and/or Medicaid recipients, overutilized services, engaged in improper billing procedures, or breached the assignment agreement. Also included are persons or entities chosen as subjects of a validation review.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information maintained in each record includes the identity of individual(s) chosen for validation review or the suspect of an integrity review, the area of service under validation study or the nature of the alleged offense, documentation of the investigation into the alleged offense (including identification of beneficiaries, recipients and witnesses, statements, medical records, payment records, or complaints from beneficiaries recipients and others, correspondence and forms, documentation of complaints, and reports of medical review committees or consultants (including professional standards review organizations), and the disposition of the case by the Office of Program Validation or the HCFA Regional Office, Office of the Inspector General, Medicaid State agency or State Medicaid Fraud Control Unit, or the U.S. Attorney.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 205, 1106, 1107, 1815, 1816, 1833, 1842, 1872, 1874, 1876, 1877, and 1902 of the Social Security Act. (42 U.S.C. 405, 1306, 1307, 1395g, 1395h, 1395l, 1395u, 1395ii, 1395kk, 1395mm, 1395nn, and 1396a)

PURPOSE(S):

To determine if a violation of a provision of the Social Security Act or a related penal or civil provision of the

United States Code has been committed; to determine if HHS has made proper payments as prescribed under sections 1815 and 1833 of the Social Security Act and whether the Medicare or Medicaid programs have been abused; and to coordinate title XVIII and title XIX investigations and prevent duplication. HCFA discloses case file material to the HHS Office of the Inspector General when a case is referred for full fraud investigation.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

HCFA uses material in this system as the basis for referral of the case to the HHS Office of the Inspector General or the (1) Department of Justice for consideration of criminal prosecution or civil action or to (2) State or local licensing authorities (including State medical review boards), professional standards review organizations, peer review groups, medical consultants, or other professional associations for possible administrative action.

(3) HCFA discloses such information to officers or employees of State governments as well as the civilian health and medical program of the Uniformed Services (CHAMPUS) program for use in conducting or directing investigations of possible fraud or abuse against the title XVIII, XIX, or CHAMPUS programs, as well as State attorneys in connection with State programs involving the Health Care Financing Administration.

(4) HCFA also uses the material to determine the direction of investigation of potential fraud or abuse situations, which includes contact with third parties for the purpose of establishing or negating a violation. (5) HCFA discloses cases involving fraudulent tax returns or forgery of Medicare checks to the (a) Treasury Department, (b) to the postal authorities, and to appropriate law enforcement agencies. (6) HCFA may make disclosures to a congressional office from the record of an individual in response to an inquiry which the congressional office makes at the request of that individual.

(7) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to

represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Paper files maintained in locked file cabinets.

RETRIEVABILITY:

The staff indexes and retrieves records by case number or by the name of the subject of the investigation.

SAFEGUARDS:

The system is maintained in accordance with the requirements of the DHHS ADP Systems Manual, Part 6, "Systems Security." HCFA keeps the file cabinets locked in a room that is locked after office hours. No one has access to the files except Office of Program Validation and HCFA Regional Office staff or other authorized personnel on a need to know basis.

RETENTION AND DISPOSAL:

HCFA places the records in an inactive file after final action on the case. It closes out the inactive file at the end of the calendar year in which final action was taken, holds it 2 additional years, transfers it to the Federal Records Center, who destroys it after 3 additional years.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Bureau of Quality Control, Office of Program Validation HCFA, 6325 Security Boulevard, Baltimore, Md. 21207 or HCFA Regional Office Locations (see Appendix C, Section 2).

NOTIFICATION PROCEDURE:

An individual can determine if this system contains a record pertaining to an active abuse investigation or a closed fraud or abuse investigation of which the individual is/was a subject by requesting such information in writing. He or she should direct inquiries to HCFA, Bureau of Quality Control, Office of Program Validation; 6325 Security Boulevard, Baltimore, Md 21207 or the appropriate HCFA Regional Office (see app. C.2).

Under 5 U.S.C. 552a(k)(2), case files on active fraud investigations are exempt from notification procedures. Therefore, an individual cannot determine if this system contains a record pertaining to an active fraud investigation of which the individual is a subject.

An individual who requests notification of or access to a medical record shall, at the time he makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

These notification procedures are in accordance with Department regulations (45 CFR 5b.5).

RECORD ACCESS PROCEDURE:

Same as notification procedures. Requestors should also reasonably specify the record contents they seek. As with the notification procedures above, case files on active fraud investigations are exempt from access by the individuals who are the subjects of the investigations pursuant to 5 U.S.C. 552a(k)(2). However, access to information which is a matter of public record or documents which the individual furnished will be permitted. These access procedures are in accordance with Department regulations (45 CFR 5b.5(a)(2)).

CONTESTING RECORD PROCEDURES:

Contact the appropriate official at the address specified under notification procedures above, reasonably identify the record and specify the information to be contested. State the corrective action sought and the reasons for the correction with supporting justification. (These procedures are in accordance with Department regulations—45 CFR 5b.7).

RECORD SOURCE CATEGORIES:

The information contained in this record systems is the result of a criminal or program abuse investigation and may be derived from such sources as the suspect, beneficiaries, witnesses, professional standards review organizations, professional or peer review committees, medical consultants, title XIX State agencies or State Medicaid Fraud Control Units, Social Security Administration, Health Care Financing Administration, carrier or intermediary employees with a knowledge of the case.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

HHS claims exemption of certain records (case files on active fraud investigations) in this system from the notification and access procedures under 5 U.S.C. 522a(k)(2) inasmuch as these records are investigatory materials compiled for program (law) enforcement in anticipation of a criminal or administrative proceeding. (See Department Regulations (45 CFR 5b.11)).

Appendix C. Health Insurance Claims

Medicare records are maintained at the HCFA Central Office (see section 1 below for the address). Health insurance records of the Medicare program can also be accessed through a representative of the HCFA Regional Office (see section 2 below for addresses). Medicare claims records are also maintained by private insurance organizations who share in administering provisions of the health insurance program. These private insurance organizations, referred to as carriers and intermediaries, are under contract to the Health Care Financing Administration and the Social Security Administration to perform specific tasks in the Medicare program. See section 3 below for addresses for intermediaries and section 4 addresses for carriers.

1. Central Office Addresses:

Bureau of Program Operations, HCFA, 6325 Security Boulevard, Baltimore, Maryland 21207. Office Hours: 8:15-4:45

Bureau of Support Services, HCFA, Office of Direct Reimbursement, Room 1705, Equitable Building 6325 Security Boulevard, Baltimore, Maryland 21207. Office Hours: 8:15-4:45

2. HCFA Regional Office Addresses:

BOSTON REGION—Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

John F. Kennedy Federal Building, Room 1211, Boston, Massachusetts 02203. Office Hours: 8:30-5:00

NEW YORK REGION—New Jersey, New York, Puerto Rico, Virgin Islands

26 Federal Plaza—Room 715, New York, New York 10007. Office Hours: 8:30-5:00

PHILADELPHIA REGION—Delaware,

District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia
P.O. Box 8460, Philadelphia, Pennsylvania 19101. Office Hours: 8:30-5:00

ATLANTA REGION—Alabama, North Carolina, South Carolina, Florida, Georgia, Kentucky, Mississippi, Tennessee

101 Marietta Street, Suite 702, Atlanta, Georgia 30223. Office Hours: 8:00-4:30

CHICAGO REGION—Illinois, Indiana,

Michigan, Minnesota, Ohio, Wisconsin
Suite A-824, Chicago, Illinois 60604. Office Hours: 8:15-4:45

DALLAS REGION—Arkansas, Louisiana, New Mexico, Oklahoma, Texas

1200 Main Tower Building, Dallas, Texas. Office Hours: 8:00-4:30

KANSAS CITY REGION—Iowa, Kansas, Missouri, Nebraska

New Federal Office Building, 601 East 12th Street—Room 436, Kansas City Missouri 64106. Office Hours: 8:00-4:45

DENVER REGION—Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming

Federal Office Building, 1961 Stout St—Room 1185, Denver, Colorado 80294. Office Hours: 8:00-4:30

SAN FRANCISCO REGION—American Samoa, Arizona, California, Guam, Hawaii, Nevada

- Federal Office Building, 10 Van Ness Avenue, 20th Floor, San Francisco, California 94102. Office Hours: 8:00-4:30
- SEATTLE REGION—Alaska, Idaho, Oregon, Washington
1321 Second Avenue—Room 615, Mail Stop 211, Seattle, Washington 98101. Office Hours: 8:00-4:30
3. Intermediary Addresses (Hospital Insurance):
- Medicare Coordinator, Blue Cross/Blue Shield of Alabama, 450 Riverchase Parkway East, Birmingham, Alabama 35298
- Medicare Coordinator, Blue Cross of Arizona, Inc., P.O. Box 13466, Phoenix, Arizona 85002
- Medicare Coordinator, Arkansas Blue Cross/Blue Shield, Inc., 601 Gaines Street, Little Rock, Arkansas 72203
- Medicare Coordinator, Blue Cross of Southern California, P.O. Box 70000, Van Nuys, California 91470
- Medicare Coordinator, Blue Cross of Northern California, 1950 Franklin Street, Oakland, California 94659
- Medicare Coordinator, Kaiser Foundation Health Plan, Inc., 1956 Webster Street, Room 310A, Oakland, California 94612
- Medicare Coordinator, Rocky Mountain Hospital and Medical Service, 700 Broadway, Denver, Colorado 80203
- Medicare Administrator, Aetna Life & Casualty, 151 Farmington Avenue, Hartford, Connecticut 06156
- Medicare Coordinator, Blue Cross/Blue Shield Connecticut, 370 Bassett Rd., North Haven, Connecticut 06473
- Medicare Administrator, Travelers Ins. Co., One Tower Square, Hartford, Connecticut 06115
- Triage, Inc., 719 Middle Street, Bristol, Connecticut 06019
- Medicare Coordinator, Blue Cross/Blue Shield of Delaware, Inc., 201 West 14th Street, Wilmington, Delaware 19899
- Medicare Coordinator, Group Hospitalization, Inc., 550 12th Street, S.W., Washington, D.C. 20024
- Medicare Coordinator, Blue Cross of Florida, Inc., P.O. Box 1798, Jacksonville, Florida 32201
- Medicare Coordinator, Blue Cross of Georgia/Columbus, P.O. Box 7368, Columbus, Georgia 31908
- Medicare Coordinator, Blue Cross of Georgia/Atlanta, P.O. Box 4445, Atlanta, Georgia 30302
- Medicare Coordinator, Hawaii Medical Service Association, P.O. Box 860, Honolulu, Hawaii 96808
- Medicare Coordinator, Blue Cross of Idaho, Inc., P.O. Box 7480, Boise, Idaho 83707
- Medicare Coordinator, Health Care Service Corp., 233 North Michigan Avenue, Chicago, Illinois 60601
- Medicare Coordinator, Mutual Hospital Insurance, Inc., 120 West Market Street, Indianapolis, Indiana 46204
- Medicare Coordinator, Blue Cross of Iowa, Ruan Building, 636 Grant Avenue, Station 28, Des Moines, Iowa 50307
- Medicare Coordinator, Blue Cross of Western Iowa and S. Dakota, Third and Pierce Street, Sioux City, Iowa 51102
- Medicare Administrator, Kansas Hospital Service Association, Inc., P.O. Box 239, Topeka, Kansas 66601
- Medicare Coordinator, Blue Cross and Blue Shield of Kentucky, Inc., 9901 Linn Station Road, Louisville, Kentucky 40223
- Medicare Coordinator, Louisiana Health Service and Indemnity Company, 2718A Wooddale Blvd, Baton Rouge, Louisiana 70805
- Medicare Coordinator, Associated Hospital Service of Maine, 110 Free Street, Portland, Maine 04101
- Medicare Coordinator, Maryland Blue Cross, Inc., 700 East Joppa Road, Baltimore, Maryland 21204
- Medicare Coordinator Part A, Blue Cross of Mass., Inc., 100 Summer Street, Boston, Massachusetts 02106
- Medicare Coordinator, Blue Cross of Michigan, 600 Lafayette East, Detroit, Michigan 48226
- Medicare Coordinator, Blue Cross of Minnesota, 3535 Blue Cross Road, St. Paul, Minnesota 55765
- Medicare Coordinator, Blue Cross of Miss., P.O. Box 1043, Jackson, Mississippi 39205
- Medicare Coordinator, Blue Cross Hospital Service of Missouri, 4444 Forest Park Boulevard, St. Louis, Missouri 63108
- Medicare Coordinator, Blue Cross of Montana, P.O. Box 5017, Great Falls, Montana 59403
- Medicare Coordinator, Mutual of Omaha Ins. Co., Box 456 Downtown Station, Omaha, Nebraska 68101
- Medicare Coordinator, Blue Cross of Nebraska, P.O. Box 3248, Main Post Office Station, Omaha, Nebraska 68103
- Medicare Coordinator, New Hampshire Vermont Health Service, 2 Pillsbury Street, Concord, New Hampshire 03306
- Medicare Coordinator, Hospital Service Plan of New Jersey, 33 Washington Street, Newark, New Jersey 07102
- Medicare Coordinator, Prudential Ins. Co. of America, Drawer 471, 1 Millville, New Jersey 08332
- Medicare Coordinator, New Mexico Blue Cross Inc., 12800 Indian School Rd., N.E., Albuquerque, New Mexico 87112
- Medicare Coordinator, B/C-B/S of New York, 622 Third Avenue, New York, New York 10017
- Medicare Coordinator, North Carolina B/C-B/S, P.O. Box 2291 Durham, North Carolina 27702
- Medicare Coordinator, Blue Cross of North Dakota, 4510 13th Avenue, S.W., Fargo, North Dakota 58121
- Medicare Coordinator, B/C of N.W. Ohio, P.O. Box 943, Toledo, Ohio 43601
- Medicare Coordinator, B/C of N.E. Ohio, 2066 East Ninth Street, Cleveland, Ohio 44115
- Medicare Coordinator, Hospital Care Corporation, 1351 William Howard Taft Road, Cincinnati, Ohio 45206
- Medical Coordinator, Nationwide Mutual Insurance Co., P.O. Box 1625, Columbus Ohio 43216
- Medicare Coordinator, B/C of Central Ohio, P.O. Box 16526, Columbus, Ohio 43216
- Medicare Coordinator, Blue Cross of Oklahoma, 1215 South Boulder, Tulsa, Oklahoma 74119
- Medicare Coordinator, Northwest Hospital Service, P.O. Box 1271, Portland, Oregon 97201
- Medicare Coordinator, Blue Cross of Greater Philadelphia, 1333 Chestnut Street, Philadelphia, Pennsylvania 19107
- Medicare Coordinator, Blue Cross of Western Pennsylvania, One Smithfield Street, Pittsburgh, Pennsylvania 15222
- Medicare Coordinator, B/C of N.E. Pennsylvania, 70 North Main Street, Wilkes-Barre, Pennsylvania 18711
- Medicare Coordinator, Hospital Service Plan of Lehigh Valley, 1221 Hamilton Street, Allentown, Pennsylvania 18102
- Medicare Coordinator, Capital Blue Cross, 100 Pine Street, Harrisburg, Pennsylvania 17101
- Cooperativa de Seguros de Vida de Puerto Rico, G.P.O. Box 3428, San Juan, Puerto Rico 00936
- Blue Cross of Rhode Island, 444 Westminster Mall, Providence, Rhode Island 02901
- Medicare Coordinator, Blue Cross of S.C., Columbia, South Carolina 29219
- Medicare Coordinator, Blue Cross of Tennessee, Blue Cross Bldg., Chattanooga, Tennessee 37402
- Medicare Coordinator, Group Hospital Service, Inc., P.O. Box 22146, Dallas, Texas 75222
- Medicare Coordinator, B/C of Utah, P.O. Box 30270, Medicare A, Salt Lake City, Utah 84130
- B/C of S.W. Virginia, P.O. Box 13047, 3959 Electric Rd., Roanoke, Virginia 24045
- Medicare Coordinator, Blue Cross of Virginia, P.O. Box 27401, Richmond, Virginia 23261
- Medicare Coordinator, B/C of Washington/Alaska, Inc., 15700 Dayton Avenue, North, P.O. Box 327, Seattle, Washington 98111
- Medicare Coordinator, Parkersburg Hosp. Serv., Inc., P.O. Box 1948, Parkersburg, West Virginia 26101
- Medicare Coordinator, Blue Cross Hospital Service Inc., P.O. Box 1353, City Center West Charleston, West Virginia 25325
- Medicare Coordinator, Blue Cross of Northern West Virginia Inc., 20th and Chapline Streets, Wheeling, West Virginia 26003
- Medicare Coordinator, Blue Cross/Blue Shield United of Wisconsin, Milwaukee, Wisconsin 53201
- Medicare Coordinator, Blue Cross/Blue Shield of Wyoming, P.O. Box 2266, Cheyenne, Wyoming 82007

- Health Care Financing Administration,
Bureau of Program Operations, Group
Health Plans, Operations Staff, 6325
Security Boulevard, Baltimore, Maryland
21207
- Railroad Retirement Board, 844 Rush
Street, Chicago, Illinois 60611
4. Carrier Addresses (Supplementary
Medical Insurance)
- Medicare Coordinator, Blue Cross Blue
Shield of Alabama, 450 Riverchase
Parkway East, Birmingham, Alabama
35298
- Vice President for Medicare and Medical
Services, Arkansas Blue Cross/Blue
Shield, 601 Gaines Street, Little Rock,
Arkansas 72203
- Medicare Coordinator, California Blue
Shield, P.O. Box 7968, Rincon Annex, San
Francisco, California 94120
- Medicare Coordinator, Transamerica
Occidental Life Insurance Company, P.O.
Box 54905 Terminal Annex, Los Angeles,
California 90054
- Kaiser Foundation Health Plan 1956
Webster Street, Rm 310-A Oakland,
California 94612
- Assistant Vice President, Blue Shield of
Colorado, 700 Broadway, Denver,
Colorado 80273
- Medicare Administrator, Travelers Ins. Co.,
One Tower Square, Hartford,
Connecticut 06115
- Medicare Administrator, Aetna Life &
Casualty, 151 Farmington Avenue,
Hartford, Connecticut 06156
- Medicare Coordinator, Connecticut
General Life Insurance Company,
Hartford, Connecticut 06152
- Medicare Coordinator, Blue Cross/Blue
Shield of Delaware, 201 West 14th Street,
Wilmington, Delaware 19899
- Medicare Coordinator, Blue Cross of
Florida, Inc., P.O. Box 1798, Jacksonville,
Florida 32231
- Group Health, Inc., 1320 South Dixie
Highway, Coral Gables, Florida 33146
- Medicare Administrator, Prudential
Insurance Company of America, P.O. Box
95466, 57 Executive Park Station, Atlanta,
Georgia 30347
- Medicare Claim Administrator, Hawaii
Medical Service Association, 100 Bishop
Street, P.O. Box 860, Honolulu, Hawaii
96808
- Health Care Service Corporation, 233 North
Michigan Avenue, Chicago, Illinois 60601
- Assistant Vice President Medicare Dept.,
Mutual Medical Insurance, Inc., 120 West
Market Street, Indianapolis, Indiana
46204
- Assistant Executive Director, Blue Shield of
Iowa, Ruan Building, 636 Grand Avenue,
Des Moines, Iowa 50307
- Medicare Administrator, Blue Shield of
Kansas Inc., P.O. Box 239, Topeka,
Kansas 66601
- Manager, Medicare Liaison, Pan American
Life Insurance Co., P.O. Box 60182, New
Orleans, Louisiana 70130
- Medicare Coordinator, Maryland Blue
Shield, Inc., 700 E. Joppa Road,
Baltimore, Maryland 21204
- Medicare Coordinator Part B,
Massachusetts Blue Shield, 100 Summer
Street, Boston, Massachusetts 02106
- Asst. Vice Pres. Govern. Aff. Dept., Blue
Cross and Blue Shield of Michigan, 600
Lafayette East, Detroit, Michigan 48226
- Blue Cross/Blue Shield of Minn., 3535 Blue
Cross Road, St. Paul, Minnesota 55765
- Vice President Government Programs, Blue
Shield of Kansas City, P.O. Box 169,
Kansas City, Missouri 64141
- Director, Medicare Administration, General
American Life Ins. Corp., 13045 Tesson
Ferry Road, St. Louis County, Missouri
- Montana Physicians Service, P.O. Box 4310,
Helena, Montana 59601
- Assistant Vice President, Medicare
Administration, Mutual of Omaha
Insurance Co., Box 456, Downtown
Station, Omaha, Nebraska 68101
- Medicare Coordinator, New Hampshire
Vermont Phys. Serv., 2 Pillsbury St.,
Concord, New Hampshire 03306
- Medicare Coordinator, Prudential
Insurance Co., of America, P.O. Box 471,
Millville, New Jersey 08332
- Director of Medicare Part B, Blue Shield of
Western New York, Inc., 298 Main Street,
Buffalo, New York 14202
- Medicare Coordinator, Group Health
Insurance, Inc., 326 West 42nd Street,
New York, New York 10036
- Medicare Coordinator, Genesee Valley
Medical Care, Inc., 42 Chestnut Street,
Rochester, New York 14604
- Medicare Coordinator, Blue Cross/Blue
Shield of Greater N.Y., 622 Third Avenue,
New York, New York 10017
- Medicare Coordinator, The Equitable Life
Assurance Society, 1285 Avenue of the
Americas, New York, New York 10019
- Medicare Coordinator, Blue Shield of North
Dakota, 4510 13th Avenue, S.W., Fargo,
North Dakota 58121
- Medicare System & Proc. Div., Nationwide
Mutual Insurance Company, P.O. Box
1625, Columbus, Ohio 43216
- Department of Human Services, 101
Sequoyah Boulevard, Oklahoma City,
Oklahoma 73105
- Medicare Coordinator, Pennsylvania Blue
Shield, P.O. Box 65, Camp Hill,
Pennsylvania 17011
- Chief, Internal Operations, Seguros de
Servicio de Salud de Puerto Rico, Inc.,
G.P.O. Box 3628, San Juan, Puerto Rico
00936
- Medicare Coordinator, Blue Shield of
Rhode Island, 444 Westminster Mall,
Providence, Rhode Island 02901
- Medicare Coordinator, Blue Cross/Blue
Shield of S.C., Columbia, South Carolina
29219
- EDS Federal Corporation, 7171 Forest Lane,
Dallas, Texas 75230
- Offices Services, Group Medical & Surgical
Service, P.O. Box 22147, Dallas, Texas
75222
- Manager, Part B, Blue Shield of Utah, P.O.
Box 30270, Salt Lake City, Utah 84125
- Assistant Administrator, Washington
Physicians Service, 4th and Battery
Building—2401 4th Avenue, 6th Floor,
Seattle, Washington 98121
- Director, Medicare Claims Dept.,
Wisconsin Physicians Service, P.O. Box
9277, Madison, Wisconsin 53715
- Health Care Financing Administration,
Bureau of Program Operations, Group
Health Plans Operations Staff, 6325
Security Blvd., Baltimore, Maryland
21207
- Director of Retirement Claims, U.S.
Railroad Retirement Board, 844 Rush
Street, Chicago, Illinois 60611

[FR Doc. 82-25608 Filed 10-12-82; 8:45 am]

BILLING CODE 4120-03-M

DEPARTMENT OF HEALTH AND HUMAN SERVICES**Office of the Secretary****Office of the Assistant Secretary for Personnel Administration****Privacy Act of 1974; Systems of Records, Annual Republication**

AGENCY: Office of the Secretary (OS), Office of the Assistant Secretary for Personnel Administration (OASPER), HHS.

ACTION: Annual republication of personnel records systems notices.

SUMMARY: 5 U.S.C. 552a(e)(4) requires that agencies annually publish notices in the *Federal Register* to indicate the existence and character of any systems of records which they maintain. The following notices are published to meet this requirement with respect to certain systems of records which HHS maintains on its past, present and prospective employees.

SUPPLEMENTARY INFORMATION: The following personnel records systems notices contain no material which requires a new or altered system report or any new routine uses.

Additional personnel records maintained in the Department are covered by U.S. Office of Personnel Management (OPM) government-wide records systems notices (see April 16, 1982, *Federal Register* at pages 16489-16503). Also, personnel records of PHS Commissioned Officers are covered by records systems notices published by the Office of the Assistant Secretary for Health. Individuals seeking access to those records should follow the procedures in those notices.

Personnel records of employees, former employees, and applicants for employment of the new Office of Community Services are covered by the OASPER records systems notices and the OPM government-wide notices. Personnel records of former Community Services Administration employees not covered by these notices have been turned over to the General Services Administration.

The Official Personnel Folder of former HHS employees who have separated from the Federal government are under the control of OPM and are maintained in the Federal Records Center in St. Louis, Missouri. Individuals seeking access to these records should contact OPM.

The former OASPER system of records 09-90-0002, "Investigatory Material Compiled for Security and Suitability Purposes," has been transferred to the HHS Office of the

Inspector General, which now performs the personnel security function within the Department.

Minor modifications have been made in the notices for the purpose of completeness, clarity and correctness. In addition, changes were made to show current organizational designations and locations.

Dated: September 15, 1982.

Thomas S. McFee,

Assistant Secretary for Personnel Administration.

Table of Contents**SYSTEM NUMBER AND SYSTEM NAME:**

- *09-90-0006 Applicants for Employment Records, HHS/OS/ASPER
 - *09-90-0007 Complaints and Inquiries Records—Miscellaneous, HHS/OS/ASPER
 - *09-90-0008 Conflict of Interest Records, HHS/OS/ASPER
 - *09-90-0009 Discrimination Complaints Records, HHS/OS/ASPER
 - *09-90-0010 Employee Counseling Service Program Records, HHS/OS/ASPER
 - *09-90-0011 Employee Appraisal Program Records, HHS/OS/ASPER
 - *09-90-0012 Executive Development Records, HHS/OS/ASPER
 - *09-90-0013 Federal Employees Occupational Health Program Records, HHS/OS/ASPER
 - *09-90-0014 Grievances Filed Under Part 771 of 5 C.F.R., HHS/OS/ASPER
 - *09-90-0015 Grievance Records Filed Under Procedures Established by Labor-Management Negotiations, HHS/OS/ASPER
 - *09-90-0016 HHS Motor Vehicle Operator Records, HHS/OS/ASPER
 - *09-90-0017 Pay, Leave, and Attendance Records, HHS/OS/ASPER
 - *09-90-0018 Personal Records in Operating Offices, HHS/OS/ASPER
 - *09-90-0019 Special Employment Program Records, HHS/OS/ASPER
 - *09-90-0020 Suitability for Employment Records, HHS/OS/ASPER
 - *09-90-0021 Training Management Information System, HHS/OS/ASPER
 - *09-90-0022 Volunteer EEO Support Personnel Records, HHS/OS/ASPER
 - *09-90-0036 Employee Suggestion Program Records, HHS/OS/ASPER
 - *09-90-0059 Federal Advisory Committee Membership Files, HHS/OS/ASPER
 - *09-90-0069 Unfair Labor Practice Records, HHS/OS/ASPER
 - *09-90-0095 Management Information System Efficiency Report (Miser), HHS/OS/ASPER/OPSI and OCAM.
- *Systems are Department-wide with Office of the Secretary policy guidance but with local operational control.

09-90-0006

SYSTEM NAME:

Applicants for Employment Records, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

This system is located in personnel offices and other offices of the Department authorized to receive applications for employment. See Appendix 1.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Persons who have applied for Federal employment or are employed in the Federal service.

CATEGORIES OF RECORDS IN THE SYSTEM:

These records contain information relating to the education and training; employment history and earnings; appraisal of past performance; convictions and offenses against the law; results of written tests; appraisal of potential; honors, awards or fellowships military service; veterans preference, birthplace; birth date; social security number; and home address of persons who have applied for Federal employment or are employed in the Federal service and correspondence related thereto. These records may also include information concerning the date of application, qualification status, employment consideration, priority grouping, and other information relating to the consideration of the individual for employment.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 1302, 3301, 3302, Executive Order 10577.

PURPOSE(S):

Records in this system are used to determine individuals' eligibility and evaluate their qualifications for placement in positions within the Department. These records are maintained in each component of the Department.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

These records may be used: (1) to respond to requests for information from the Office of Personnel Management, Members of Congress, or other inquiries from outside the Department, to the extent their request is compatible with the purpose for which the records are maintained.

(2) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(3) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense provided such disclosure is compatible with the purpose for which the records were collected.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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.

(5) 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 records or other pertinent records, such as current licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the requesting agency's decision on the matter.

(6) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(7) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(8) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(9) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained on magnetic tapes, discs, drums, punched cards, microfiche, cards, lists, and forms.

RETRIEVABILITY:

Records are indexed by any combination of name, birth date, social security number and identification number.

SAFEGUARDS:

Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

RETENTION AND DISPOSAL:

Records are retained until the applicant is selected for a position, or for two years. After the applicant is selected for a position, the records are filed in the Official Personnel Folder which is retained until the employee leaves the Department. If the applicant is not selected for a position within two years, the records are destroyed. (See HHS Personnel Instruction 293-1, Exhibit X293-1-1, item 15.)

SYSTEM MANAGER(S) AND ADDRESS:

Personnel Officers of the Department. See Appendix 1.

NOTIFICATION PROCEDURE:

Personnel office to which application is made (see Appendix 1). Individual should provide name, date of birth, social security number, approximate date of record and title of position for which application was made.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information in this system of records is provided by the individual to whom it applies, is derived from information he or she supplied; or is obtained from information supplied by others.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix 1

Personnel Offices in Department of Health and Human Services

Office of the Assistant Secretary for Personnel Administration, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201

Headquarters Personnel Offices:

Personnel Officer, Division of OS Personnel, Office of the Secretary, Department of Health and Human Services, Room 4361—4th Floor, 330 Independence Avenue, S.W., Washington, D.C. 20201

Personnel Officer, Office of Human Development Services, Department of Health and Human Services, Room 351D, Humphrey Building, 200 Independence Ave., S.W., Washington, DC 20201
Director, Office of Management, Budget and Personnel (OMB), Social Security Administration, Department of Health and Human Services, Room 718, Altmeyer Building, 6401 Security Boulevard, Baltimore, Maryland 21235

Personnel Officer, Office of Hearings and Appeals, Social Security Administration, Department of Health and Human Services, Room 201, 3833 North Fairfax Drive, Arlington, Virginia 22203

Director, Division of Human Resources, Health Care Financing Administration, Department of Health and Human Services, Room G-H-5, East Low Rise Building, 6325 Security Blvd., Baltimore, Maryland 21207

Personnel Officer, Office of Community Services, Department of Health and Human Services, Room 531, 1200 19th Street, NW., Washington, DC 20506

Director, Office of Personnel Management, Public Health Service, Department of Health and Human Services, Room 18A-55, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Director, Office of the Assistant Secretary for Health, Personnel Operations Office, Department of Health and Human Services, Room 17-34, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Director, Division of Personnel Management, Alcohol, Drug Abuse and Mental Health Administration, Department of Health and Human Services, Room 1295, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Personnel Director, Personnel Management Office, Centers for Disease Control, Department of Health and Human Services, Building 1, Room 153A, 1600 Clifton Road, NE, Atlanta, Georgia 30333

Personnel Officer, Division of Personnel Management, Food and Drug Administration, Department of Health and Human Services, Room 4B-21, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Director, Division of Personnel, Health Resources and Services Administration, Department of Health and Human Services, Room 14A-55, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Director, Division of Personnel Management, National Institutes of Health, Department of Health and Human Services, Room 21, Building 1, 9000 Rockville Pike, Bethesda, Maryland 20205

Personnel Officer, Personnel Office, National Library of Medicine, Department of Health and Human Services, 8600 Rockville Pike, Room M-105, Bethesda, Maryland 20209

Chief, Personnel Management Branch, National Cancer Institute, Department of Health and Human Services, Room 3A19, Building 31, 9000 Rockville Pike, Bethesda, Maryland 20205

Chief, Personnel Management Branch, National Heart and Lung Institute, Department of Health and Human Services, Room 5A32, Building 31, 9000 Rockville Pike, Bethesda, Maryland 20205

Personnel Officer, Saint Elizabeths Hospital, ADAMHA, Department of Health and Human Services, Room 120, E-Building, 2700 Martin Luther King Avenue, SE., Washington, DC 20032

Personnel Director, Bureau of Health Manpower, Department of Health and Human Services, Room 5B-44, Building 31,

9000 Rockville Pike, Bethesda, Maryland 20015

Regional Personnel Offices:

Regional Personnel Officer, Region I, Department of Health and Human Services, John F. Kennedy Federal Building, Government Center—Room 1503, Boston, Massachusetts 02203

Regional Personnel Officer, Region II, Department of Health and Human Services, Federal Building, Room 39-100, 26 Federal Plaza, New York, New York 10278

Personnel Liaison Unit, Suite 610, Housing Investment Building, 416 Ponce de Leon Avenue, Hato Rey, Puerto Rico 00918

Regional Personnel Officer, Region III, Department of Health and Human Services, 3535 Market Street, Room 9460, Philadelphia, Pennsylvania 19101

Regional Personnel Officer, Region IV, Department of Health and Human Services, Suite 1601, 101 Marietta Tower, Atlanta, Georgia 30323

Regional Personnel Officer, Region V, Department of Health and Human Services, 31st Floor, 300 S. Wacker Drive, Chicago, Illinois 60606

Regional Personnel Officer, Region VI, Department of Health and Human Services, 18th Floor, 1200 Main Tower Bldg., Dallas, Texas 75202

Personnel Officer, National Institute of Environmental Health Services, Department of Health and Human Services, P.O. Box 12233, Research Triangle Park, North Carolina 27709

Regional Personnel Officer, Region VII, Department of Health and Human Services, Room 468, 601 E. 12th Street, Kansas City, Missouri 64106

Regional Personnel Officer, Region VIII, Department of Health and Human Services, Room 1031, Federal Office Building, 1961 Stout Street, Denver, Colorado 80294

Regional Personnel Officer, Region IX, Department of Health and Human Services, 50 United Nations Plaza, San Francisco, California 94102

Regional Personnel Officer, Region X, Department of Health and Human Services, Room 6039 Arcade Plaza Building, 1321 Second Avenue, Mail Stop 627, Seattle, Washington 98101

Other Personnel Offices:

Chief, Personnel Office, Cleveland Branch Office, Region V, Department of Health and Human Services, 14600 Detroit Avenue, Room 500, Cleveland, Ohio 44107

Southern California Operating Center, Region IX, 24000 Avila Road, 4th Floor, Laguna Niguel, California 92677

Personnel Officer, U.S. Public Health Service Hospital, Personnel Section, Department of Health and Human Services, Carville, Louisiana 70721

Personnel Officer, Indian Health Service, Personnel Management Branch, Department of Health and Human Services, P.O. Box 2143, Billings, Montana 59103

Personnel Officer, Indian Health Service, Personnel Section, Department of Health

and Human Services, 4005 Federal Office Building, 500 Gold Avenue, S.W., Albuquerque, New Mexico 87101

Personnel Officer, Indian Health Service, Personnel Management Branch, Department of Health and Human Services, 115 4th Avenue, SE., Aberdeen, South Dakota 57401

Personnel Officer, Indian Health Service, Personnel Management Branch, Department of Health and Human Services, 801 East Indian School Road, Phoenix, Arizona 85014

Personnel Officer, Indian Health Service, Personnel Branch, Department of Health and Human Services, 388 Old Post Office and Courthouse, Oklahoma City, Oklahoma 73102

Personnel Officer, Alaska Area Office, Indian Health Service, Department of Health and Human Services, P.O. Box 7-741, Anchorage, Alaska 99501

Personnel Officer, Indian Health Area Office, Office of Personnel, Department of Health and Human Services, Room 200, 921 SW. Washington Street, Portland, Oregon 97205

Personnel Officer, Indian Health Service, Office of Personnel, Department of Health and Human Services, P.O. Box C, Window Rock, Arizona 86515

Personnel Officer, Addiction Research Center, National Institute of Drug Abuse, ADAMHA, Department of Health and Human Services, P.O. Box 12390, Lexington, Kentucky 40511

Personnel Officer, National Institute for Occupational Safety and Health, Department of Health and Human Services, Room 540, U.S. Post Office and Courthouse, 5th and Walnut Street, Cincinnati, Ohio 45202

Chief, Personnel Branch, Mid-Atlantic Program Service Center, Social Security Administration, Department of Health and Human Services, P.O. Box 14008, Philadelphia, Pennsylvania 19108

Chief, Personnel Branch, Northeastern Program Service Center, Social Security Administration, Department of Health and Human Services, 9605 Horace Harding Expressway, Flushing, New York 11368

Chief, Personnel Branch, Southeastern Program Service Center, Social Security Administration, Department of Health and Human Services, 2001 12th Avenue, North, Birmingham, Alabama 35285

Chief, Richmond Personnel Operations Center, Western Program Service Center, Social Security Administration, Department of Health and Human Services, P.O. Box 2431, Richmond, California 94802

Chief, Personnel Branch, Great Lakes Program Service Center, Social Security Administration, Department of Health and Human Services, 165 North Canal Street, Chicago, Illinois 60606

Chief, Personnel Branch, Mid-America Program Service Center, Social Security Administration, Department of Health and Human Services, P.O. Box 15186, Kansas City, Missouri 64106

Personnel Officer, Albuquerque Data Operations Center, Social Security Administration, Department of Health and Human Services, P.O. Box 4429, Station "A", Albuquerque, New Mexico 87106

Personnel Officer, Salinas Data Operations Center, Social Security Administration, Department of Health and Human Services, 100 East Alvin Drive, Salinas, California 93906

Chief, Personnel Branch, Wilkes-Barre Data Operations Center, Social Security Administration, Department of Health and Human Services, V.A. Bldg., Rm. 512, 19 North Main Street, Wilkes-Barre, Pennsylvania 18701

09-90-0007

SYSTEM NAME:

Complaints and Inquiries Records—Miscellaneous, HHS/OS/ASPER.

SECURITY LOCATION:

None.

SYSTEM LOCATION:

Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those personnel offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current and former employees of the Department.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of records relating to an individual's employment status or conduct while employed by the Department. Examples of these records include: correspondence from employees, Members of Congress, and members of the public alleging misconduct by an employee of the Department, miscellaneous complaints not covered by the Department's formal or informal grievance procedure, informal complaints handled by labor union officials, and miscellaneous debt correspondence received from creditors.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Executive Orders 11222, 10561 and 11491.

PURPOSE(S):

Records in this system are maintained to initiate, investigate and resolve various complaints and inquiries made by or against Department employees. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in these records may be used:

(1) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(3) 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 records or other pertinent records, such as current licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights

Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(7) Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) the Federal Mediation and Conciliation Service, and to an arbitrator, in carrying out their functions.

(8) To respond to Members of Congress and members of the public with regard to complaints or inquiries presented by them.

(9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(10) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

Filed in folders and index cards.

RETRIEVABILITY:

Records are filed by name. Records are used to produce summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for related personnel management functions or pay studies;

and for other purposes compatible with the intent for which the records system was created.

SAFEGUARDS:

Access to and use of these records are limited to those persons whose official duties require such access.

RETENTION AND DISPOSAL:

Records are retained until there is no further administrative need for them, the individual leaves the Department, or one year has elapsed, and are then destroyed. (See HHS Personnel Instruction 293-1, Exhibit X293-1-2, item 7.)

SYSTEM MANAGER(S) AND ADDRESS:

Personnel Officers shown in Appendix 1 to Applicants for Employment Records, HHS System 09900006, who service organizational units in which individuals are employed.

NOTIFICATION PROCEDURE:

Operating officials in organizational unit in which employee is employed or personnel officers shown as systems managers in Appendix 1 Applicants for Employment Records, HHS System 09900006. Individuals should provide name, organization in which employed, and date of birth.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) Federal Register, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information in this system of records is obtained: (1) directly from the individual, or (2) derived from information supplied by the individual, or (3) from information supplied by members of the public, other employees, Members of Congress, Department management officials, or (4) from police and court records relevant to the complaint about the employee.

09-90-0008

SYSTEM NAME:

Conflict of Interest Records, HHS/OS/ASPER.

SYSTEM CLASSIFICATION:

None.

SYSTEM LOCATION:

Personnel Offices of the Department (See Applicants for Employment Records, HHS System 09900006, Appendix 1) or authorized approving officials to be identified by those Personnel Offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Incumbents of Department positions the duties of which are of such a nature that incumbent's outside activities may come in conflict with the incumbent's official duties.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records relating to an employee's conduct and outside activities. In addition to the name of the employee, position title, grade, salary, pay plan, and employing organization, the system includes information about outside employment, outside compensation and related information.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Executive Order 11222.

PURPOSE(S):

Records in this system are used to determine whether an employee's financial interests or outside activities are in conflict with the employee's duties as a Federal employee. Records are maintained in each component of the Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in this system of records may be used: (1) by the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) the Federal Mediation and Conciliation Service, and to an arbitrator, in carrying out their functions.

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular

program 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, 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.

(3) 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 records or other pertinent records, such as current licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issued a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to

maintain Privacy Act safeguards with respect to such records.

(7) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(8) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

Conflict of Interest Records are maintained in file folders.

RETRIEVABILITY:

Records are retrievable by name. They may be used for production of summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for other purposes compatible with the intent for which the records system was created.

SAFEGUARDS:

These records are treated as controlled for Official Use Only and made available only to persons specifically authorized to receive them.

RETENTION AND DISPOSAL:

Records are retained until 2 years after the individual discontinues the activity for which approval was required, or until the individual leaves the Department, and are then destroyed. (See HHS Personnel Instruction 293-1, Exhibit X293-1-1, item 25.)

SYSTEM MANAGER(S) AND ADDRESS:

Personnel Offices of the Department shown in Appendix 1 to Applicants for Employment Records, HHS System 09900006.

NOTIFICATION PROCEDURE:

For incumbents who are in position under the Executive Schedule; Office of the Secretary Staff Office Heads; or

Principal Regional Officials contact: Deputy Assistant Secretary for Personnel, Office of Personnel, Department of Health and Human Services, 200 Independence Avenue, S.W., Washington, D.C. 20201.

For incumbents of positions in the Food and Drug Administration, contact: Director, Policy Management Staff, HFA-20, Food and Drug Administration, 5600 Fisher Lane, Rockville, Maryland 20857.

For incumbents of other positions included in this records system, contact the Personnel Office shown in Appendix 1 to Applicants for Employment Records, HHS System 09900006, which services the organizational units in which the individual is employed. The individual should indicate name, position title, grade and series, and organization in which located.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information in this system of records is: (1) Supplied directly by the individual, or (2) derived from information supplied by the individual, or (3) supplied by Department officials or other persons such as trustee, attorney, accountant, relative.

09-90-0009

SYSTEM NAME:

Discrimination Complaints Records, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of the Deputy Assistant Secretary for EEO, 200 Independence Avenue, SW., Washington, D.C. 20201.
Offices of designated EEO Officers.
See Appendix 1 for exact locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals, classes of individuals or organizations which have consulted an EEO Counselor regarding discrimination on the basis of race, color, religion, sex, national origin, physical disability or age because of a determination or decision made by a Department official or which have filed a formal allegation of discrimination.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system of records contains information or documents concerning pre-complaint processing and formal allegations of discrimination. The records consist of counselors' reports, the initial allegations, letters or notices to the individual or organization, materials placed into the record to support or refute the decision or determination, statements of witnesses, investigative reports, instructions about action to be taken to comply with decisions, and related correspondence, opinions, recommendations, and final administrative actions.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Executive Order 11478, 42 USC 2000e and 29 USC 633a.

PURPOSE(S):

These records are used to initiate, investigate, and resolve discrimination complaints within the Department. They are maintained in each component of the Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

These records and information in the records may be used:

(1) To respond to a request from a Member of Congress regarding the status of an appeal, complaint or grievance;

(2) To refer to Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) the Federal Mediation and Conciliation Service, and to an arbitrator, in carrying out their functions;

(3) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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.

(4) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(5) 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 records or other pertinent records, such as current licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the requesting agency's decision on the matter.

(6) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(7) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(8) Where a contract between a component of the Department and a labor organization recognized under

E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(9) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(10) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

(11) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

These records are maintained in file folders, binders, and index cards.

RETRIEVABILITY:

These records are indexed by the names of the individuals or organizations on whom they are maintained. They may be used: 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; and to locate specific individuals for personnel research or other personnel management functions.

SAFEGUARDS:

Access to and use of these records are limited to those persons whose official duties require such access.

RETENTION AND DISPOSAL:

The records are retained for four years after final disposition, and are then destroyed. (See HHS Personnel Instruction 293-1, Exhibit X293-1-1, item 26a(1).)

SYSTEM MANAGER(S) AND ADDRESS:

See Appendix 1.

NOTIFICATION PROCEDURE:

Individuals and organizations which consulted an EEO counselor or filed a formal allegation of discrimination are aware of that fact. They may write the appropriate system manager indicated below or the general coordinator if the immediate system manager is unknown, regarding the existence of such records pertaining to them. The inquirers, as appropriate, should provide their name, date of birth, agency in which employed or agency in which the situation arose if different from employing agency, the approximate date, and the kind of action taken, when making inquiries about records.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) **Federal Register**, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reason for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) **Federal Register**, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

- Individual to whom the record pertains.
- Department or other officials.
- Statements from employees or other witnesses.
- Official documents relating to the counseling or formal allegation.
- Correspondence from specific organizations or persons.

Appendix 1

List of Locations and System Managers for EEO Matters General Coordinator:

Deputy Assistant Secretary for EEO, Room 509F, 200 Independence Avenue, SW., Washington, D.C. 20201

System Managers

Office of the Secretary, EEO Officer, Room 541F, Humphrey Building, 200 Independence Ave., S.W., Washington, D.C. 20201

Regional Offices**Region I**

EEO Officer, Room 2411, JFK Federal Building, Boston, Massachusetts 02203

Region II

EEO Officer, Room 3838-D, 26 Federal Plaza, New York, New York 10278

Region III

EEO Officer, Room 9200, 11460 Market Street, Philadelphia, Pennsylvania 19101

Region IV

EEO Officer, 19th Floor, 101 Marietta Tower, Atlanta, Georgia 30323

Region V

EEO Officer, 35th Floor, 300 S. Wacker Drive, Chicago, Illinois 60606

Region VI

EEO Officer, Room 904, 1114 Commerce Street, Dallas, Texas 75202

Region VII

EEO Officer, Room 616D, 601 East 12th Street, Kansas City, Missouri 64106

Region VIII

EEO Officer, Room 1089, Federal Office Building, 1961 Stout Street, Denver, Colorado 80294

Region IX

EEO Officer, Room 413, 50 United Nations Plaza, San Francisco, California 94102

Region X

EEO Officer, Room 6132, Arcade Plaza Building, 1321 Second Avenue, Mail Stop 629, Seattle, Washington 98101

Operating Divisions and Agencies

Social Security Administration, EEO Officer, Room 739, Administration Building, 6401 Security Boulevard, Baltimore, Maryland 21235

Health Care Financing Administration, EEO Officer, Room 793, East High Rise Building, 6401 Security Blvd., Baltimore, Maryland 21235

Assistant Secretary for Health, EEO Officer, Room 9-A-54, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Health Resources and Services

Administration, EEO Officer, Room 14A-31, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Food and Drug Administration, EEO Officer, Room 12-B-03, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

Alcohol, Drug Abuse and Mental Health Administration, EEO Officer, Room 17-C-20, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

National Institutes of Health, EEO Officer, Room 2-B-40, Building 31, National Institutes of Health, Bethesda, Maryland 20205

Centers for Disease Control

EEO Officer, Room 2405, Building 1, 1600 Clifton Road, NE., Atlanta, Georgia 30333
Office of Human Development Services, EEO Officer, Room 336E, Humphrey Building, 200 Independence Ave., SW., Washington, D.C. 20201

09-90-0010**SYSTEM NAME:**

Employee Counseling Service Program Records HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 or designated offices performing counseling functions for employees in organizational units serviced by these personnel offices, including the Public Health Employee Assistance Program offices lists in Appendix 1 of this notice.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Department employees who have been counseled for work adjustment, personal or emotional health problems and/or the abuse of alcohol or drugs.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system contains records of employees who have been counseled and/or referred by a counselor and records of members of employees' families who have been counseled. Examples of information which may be found in this record system include the employee's name, SSN, date of birth, grade, job series, job title, leave record, service computation date, home address, home phone number, supervisor's name, name and address of the individual's personal physician, social history, educational background and performance appraisals. Other documents which may also be found in the counselor's file are notes made by the counselor, copies of admonishments and reprimands received by the employee and a record of the supervisor's referral (if the employee was referred by the supervisor).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

44 U.S.C. 3101, 42 U.S.C. 4561, 21 U.S.C. 1180, and 5 U.S.C. 7901.

PURPOSE(S):

These records are used to help the Department's troubled employees overcome their problems and remain productive employees. They are used to document the nature and effects of the employee's problem and progress and

when necessary to refer individuals to appropriate community or private resources for treatment or rehabilitation. These records are maintained in each component of the Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

In unusual circumstances, it may be appropriate to disclose information from this system of records:

(1) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(2) To organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review.

(3) To the Department of Justice or other appropriate Federal agencies in defending claims against the United States when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of components of the Department in connection with such individual;

(4) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. Such disclosures will be restrictively made; in particular, disclosures of information pertaining to an individual with a history of alcohol or drug abuse will be limited in compliance with the restrictions if the Confidentiality of Alcohol and Drug Abuse Patient Records regulations, 42 CFR Part 2.

(5) A record from this system of records may be disclosed as a "routine use" to a recipient for a research purpose, if the Department:

(a) Determines that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(b) Determines that the research purpose for which the disclosure is to be made—(1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(c) Requires the recipient to—(1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, and (2) remove or destroy the information that allows the individual to be identified at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project unless the recipient presents an adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except—(A) in emergency circumstances affecting the health or safety of any individual, (B) for use in another research project, under these same conditions, and with written authorization of the Department, (C) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (D) when required by law;

(d) Secures a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Employee records are maintained in file folders and on index cards.

RETRIEVABILITY:

Records are filed by name or by case number cross indexed with the employee's name. Anonymous information from these records may also be used to produce summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained.

SAFEGUARDS:

During the employment of the individual, records are maintained in confidential files separate from the Official Personnel Folder and are located in lockable metal containers or

in secured rooms with access limited to those whose official duties require access. Disclosure of the contents of records which pertain to an individual's alcohol or drug abuse is restricted under the provisions of the Confidentiality of Alcohol and Drug Abuse Patient Records regulations, 42 CFR Part 2, as authorized by 21 U.S.C. 1175 and 42 U.S.C. 4582, as amended by Pub. L. 93-282. To the extent possible, identical restrictions will be applied to the disclosure of the contents of records pertaining to individuals with other problems who are participating in the Public Health Employee Assistance Program.

RETENTION AND DISPOSAL:

Records are retained until three years after the individual has ceased contact with the counselor, or until the individual leaves the Department, and are then destroyed. (See HHS Personnel Instruction 293-1, Exhibit X293-1-1, item 27a.)

SYSTEM MANAGER(S) AND ADDRESS:

For records of individuals participating in the Public Health Employee Assistance Program conducted by the Public Health Service: The responsible administrator shown in Appendix 1 below. For other individuals' records: The Personnel Officer servicing the installation in which counseling was provided, as shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

NOTIFICATION PROCEDURE:

Inquiries should be addressed to the system manager at the office where counseling was provided. Individual should provide name, grade, organization in which employed, date of birth, and location and approximate date of counseling. When applicable, the special procedures for access to medical records will be followed. An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These notification and access procedures are in accordance with Department Regulations (45 CFR 5b.6) Federal Register, October 8, 1975, page 47411.). When the records pertain to an individual's alcohol or drug use, the procedures in 42 CFR 2.40 will also be followed.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably

specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b(a)(2)) Federal Register, October 8, 1975, page 47410.).

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411.).

RECORD SOURCE CATEGORIES:

Information in this system of records is: (1) supplied directly by the individual, or (2) supplied by a member of the individual's family, or (3) derived from information supplied by the individual, or (4) supplied by sources to whom the employee has been referred for assistance, or (5) supplied by Department officials, or (6) supplied by program counselors.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix 1

Officials of Public Health Employee Assistance Program (Public Health Service)
Director, PHS/Bureau of Medical Services,
Division of Federal Employee Occupational Health, Room 13A-40, Fishers Lane, Rockville, Maryland 20857
Administrator, Public Health Employee Assistance Program, Personnel Management Office, Centers for Disease Control, Atlanta, Georgia 30333
Director, PHS/Bureau of Medical Services, Division of Federal Employee Occupational Health, Center Building, Room 108, 6520 Belcrest Road, West Hyattsville, Maryland 20782
Director, Division of Safety, ORS, Office of Occupational Health, National Institutes of Health, Bethesda, Maryland 20205
Chief Employee Occupational Health Department, Saint Elizabeth's Hospital, Eldridge Building, Room 122, Washington, D.C. 20032

09-90-0011

SYSTEM NAME:

Employee Appraisal Program Records, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and operating

offices in organizational units serviced by those personnel offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current Federal employees of the Department.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system contains information which includes employee's name, SSN, employing organization, grade, title, series, and materials relating to the evaluations of employee's performance.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 4302, 5 U.S.C. 3301, 5 U.S.C. 3302, Executive Order 10577.

PURPOSE(S):

These records are used as a basis for awards, promotions, and other recognition, reduction-in-force standing, adverse actions, retention during probation, and other personnel actions. These records are maintained in each component of the Department.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in these records may be used:

(1) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) the Federal Mediation and Conciliation Service, and to an arbitrator in carrying out their functions;

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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.

(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 record is relevant and necessary to the requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(7) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(8) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(9) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is

compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained in file folders on magnetic tape, and on punch cards.

RETRIEVABILITY:

Records are retrievable by name or social security number.

SAFEGUARDS:

Access to and use of these records are limited to those persons whose official duties require such access.

RETENTION AND DISPOSAL:

Appraisals and satisfactory rating are retained until a new appraisal or rating is issued, 2 years have elapsed, or the individual leaves the Department, and are then destroyed. Unsatisfactory and outstanding ratings are filed in the Official Personnel Folder which is retained until the individual leaves the Department. (See HHS Personnel Instruction 293-1. Exhibit X293-1-2, Item 10.)

SYSTEM MANAGER(S) AND ADDRESS:

Personnel Officers shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

NOTIFICATION PROCEDURE:

Same as above. Employee should provide name, social security number and organization in which employed.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record or specify the information to be contested and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information in this system of records is provided by the individual, derived from information supplied by the individual or supplied by Department officials.

09-90-0012

SYSTEM NAME:Executive Development Records,
HHS/OS/ASPER.**SECURITY CLASSIFICATION:**

None.

SYSTEM LOCATION:Personnel offices shown in Applicants
for Employment Records, HHS System
09900006, Appendix 1.**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Members of the Senior Executive Service, supergrade employees (GS-16-18) and equivalents, incumbents of managerial positions and employees in grades GS-13-15 who have applied for Executive Development Programs.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records relating to an employee's application for, and participation in, the executive development program. In addition to the employee's name, the system contains the employee's title, grade and salary, Social Security Account Number, organization in which employed, date of entry into the Executive Development Program, training needs while participating in the program, individual's development plan, basis for participation in the Executive Development Program.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 4101 et. seq.

PURPOSE(S):

These records are used to document employee's application for and participation in the executive development program. They may be used as a basis for promotion, transfer, or reassignment. These records are maintained in each component of the Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in this system of records is used:

(1) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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 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 record is relevant and necessary to the requesting agency's decision on the matter.

(3) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(4) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(5) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(6) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(7) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(8) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(9) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.**STORAGE:**

Information in this system of records is maintained in file folders, magnetic tape, punch cards, and forms.

RETRIEVABILITY:

Records are indexed by name and Social Security Account Number. They may be used as base for preparing management, budgetary or statistical reports to support organizational planning or manpower utilization studies.

SAFEGUARDS:

Access to and use of these records are limited to those persons whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

RETENTION AND DISPOSAL:

Records of an unsuccessful applicant are retained for 60 days after notification that he or she was not selected for participation, and are then destroyed. Records of a participant are retained for 5 years after the individual has ceased to participate in the program, and are then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Heads of personnel offices which service the organizational unit in which the individual is employed. See Applicants for Employment Records, HHS System 09900006, Appendix 1.

NOTIFICATION PROCEDURE:

Same as above. Individuals should include their name, grade, title, and organization when contacting the system manager.

RECORD ACCESS PROCEDURE:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410).

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411).

RECORD SOURCE CATEGORIES:

Information in this system of records is: (1) supplied directly by the individual, or (2) derived from information supplied by the individual, or (3) supplied by Department officials.

09-90-0013

SYSTEM NAME:

Federal Employees Occupational Health Program Records, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and designated offices performing occupational health services for employees in organizations serviced by those personnel offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current Federal employees of the Department

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records relating to an employee's participation in the Federal Occupational Health Program at units other than those operated by the Division of Federal Employee Health, Public Health Service. Examples of information which may be included in this system are the employee's name, SSN, date of birth, weight, height, medical history, blood type, nature of injury or complaint, type of treatment/

medication received, examination findings, and laboratory results.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C 7901 et seq., Pub. L. 79-658.

PURPOSE(S):

These records are used to document visits by employees to health units. They serve as the record of injuries and illnesses and treatment given. Information from this system may be used by Department officials in connection with fitness for duty examinations. These records are maintained in each component of the Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in this system of records may be used:

(1) By authorized medical personnel in connection with the performance of their official duties.

(2) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(3) By the Department of Labor in connection with a claim filed by an employee for compensation for job-related injury or disease.

(4) By private contractors engaged in providing medical services under Federal contract.

(5) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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.

(6) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(7) 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 record is relevant and necessary to the requesting agency's decision on the matter.

(8) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(9) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(10) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(11) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(12) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(13) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or

her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

Stored in file folders, punch cards and data tape.

RETRIEVABILITY:

Records are retrievable by name, date of birth, and SSN. Information from this system may be used for preparing statistical or summary reports about employee participation in the Federal Occupational Health Program.

SAFEGUARDS:

During the employment of the individual, medical records are maintained in files separate from the Official Personnel Folder and are located in lockable metal containers or in secured rooms with access limited to those whose official duties require access.

RETENTION AND DISPOSAL:

Records are retained until the individual leaves the Department. If they have no long-term value they are destroyed at this time. If they have continuing value they may be combined with the Official Personnel Folder which is forwarded to the Federal Personnel Records Center or to the new employing agency, as appropriate. (See FPM Supplement 293-31, Subchapter 5-7 for contents of the Official Personnel Folder.)

SYSTEM MANAGER(S) AND ADDRESS:

Personnel Officers shown in Applicants for Employment Records, HHS System 09900006, Appendix 1, who service organizational units in which the individual is employed.

NOTIFICATION PROCEDURE:

Inquiries should be addressed to the office where occupational medical services are provided. The individual should include name, SSN, title and organization. An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. (These

notification and access procedures are in accordance with Department Regulations (45 CFR 5b.6) Federal Register, October 8, 1975, page 47411.)

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the corrective. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES

Information in this system of records is: (1) supplied directly by the individual, or (2) derived from information supplied by the individual, or (3) supplied by the medical officer or nurse providing treatment or medication, or (4) supplied by the individual's private physician.

09-90-0614

SYSTEM NAME:

Grievances Filed under Part 771 of 5 CFR HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Personnel Systems Integrity, Department of Health and Human Services, Room 2046, Switzer Building, 330 Independence Ave., S.W., D.C. 20201. Personnel Offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those personnel offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Department employees individually or as a group who have requested personal relief in a matter of concern or dissatisfaction which is subject to the control of Department management.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information or documents relating to the grievance and personal relief sought; documented materials used in consideration of the grievance, and

correspondence related to disposition of the grievance.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 1302, 3301, 3302; Executive Order 10577.

PURPOSE(S):

Records in this system are used to initiate, consider, and resolve employee grievances filed under Part 771 of 5 CFR. These records are maintained in each component of the Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in this system of records may be used:

(1) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(3) 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 records or other pertinent records, such as current licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the

requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(7) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(8) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their function.

(9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(10) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the

Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

The records are maintained in file folders, binders and index cards.

RETRIEVABILITY:

Records are indexed by name of individual filing the grievance. Information from this system may be used by Department officials for preparing statistical summary or management reports.

SAFEGUARDS:

Records maintained by management are stored in secured rooms with access limited to those whose official duties require access.

RETENTION AND DISPOSAL:

Records are retained for 3 years after the grievance case is closed, and are then destroyed. (See HHS Personnel Instruction 293-1, Exhibit X293-1-1, item 31a.)

SYSTEM MANAGER(S) AND ADDRESS:

Heads of personnel offices which service organizational units in which employees who submit informal grievances are located. See Applicants for Employment Records, HHS System 09900006, Appendix 1.

NOTIFICATION PROCEDURE:

Individuals who have filed grievances are aware of that fact and have been provided information in writing concerning the disposition of the grievance. They may contact the official who signed the written notice, or the System Manager indicated above. They should provide their name, organization in which employed and date of birth and approximate date of the filing of the grievance.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.0

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information in this system of records is: (1) Supplied directly by the individual, or (2) derived from information supplied by the individual, or (3) supplied by Department officials.

09-90-0015

SYSTEM NAME:

Grievances Filed Under Procedures Established by Labor-Management Negotiations, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those personnel offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current Federal employees of the Department covered by a collective bargaining agreement.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system of records consists of a variety of records relating to an employee's grievance filed under procedures established by labor-management negotiations. Examples of information which may be included in this system of records are the employee's name, SSN, grade, job title, testimony of witnesses, material placed into the record to support the decision, the arbitrator's decision, the arbitrator's report, and a record of an appeal to the Federal Labor Relations Authority.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Title 5, United States Code, Chapter 71.

PURPOSE(S):

Records in this system are used to initiate, consider, and resolve employee grievances filed under procedures established by labor-management negotiations. These records are maintained in each component of the

Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in this system may be released to:

(1) The Office of Personnel Management Merit Systems Protection Board (including its office of the Special Counsel), and the Equal Employment Opportunity Commission, in carrying out their functions.

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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.

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(4) 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 records or other pertinent records, such as current licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the requesting agency's decision on the matter.

(5) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(8) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(9) The Department of Labor.

(10) The Federal Labor Relations Authority including the General Counsel of the Authority and the Federal Service Impasses Panel.

(11) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(12) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained in file folders.

RETRIEVABILITY:

Records are retrievable by name. Information from this system may be used by Department officials for preparing statistical summary or management reports.

SAFEGUARDS:

Records maintained by management are stored in secured rooms with access limited to those whose official duties require access.

RETENTION AND DISPOSAL:

As negotiated by the local parties to the contract. If not covered by contract, records are retained for 3 years after the grievance case is closed and are then destroyed. (See HHS Personnel Instruction 293-1, Exhibit X293-1-1, item 31a.)

SYSTEM MANAGER(S) AND ADDRESS:

Personnel Officers shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 who service the organizational unit in which the individual is employed.

NOTIFICATION PROCEDURE:

Same as above. Individuals should include their name, grade, title and organizational unit when contacting the system manager.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411)

RECORD SOURCE CATEGORIES:

Information in this system of records is: (1) Supplied directly by the individual, or (2) derived from information supplied by the individual, or (3) supplied by testimony of witnesses, or (4) supplied by union

officials, or (5) supplied by Department officials.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-90-0016

SYSTEM NAME:

HHS Motor Vehicle Operator Records, HHS/OS/ASPER.

SYSTEM LOCATION:

None.

SYSTEM LOCATION:

Personnel offices of the Department shown in Applicants For Employment Records, HHS System 09900006, Appendix 1. Issuing Officers for Motor Vehicle Operator Identification Cards and motor pool managers within the organizations serviced by the above personnel offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All Department employees who are required to operate motor vehicles regularly or incidentally in carrying out their official duties.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records related to the issuance of a Government Motor Vehicle Operator's permit. In addition to the name of the employee, the system includes information about the employee's birthplace, SSN, employing organization, number of years driven, type of vehicles operated, current driver's license, number, state issuing driver's license, date license expires, restrictions of state license, sex, date of birth, color or hair, color of eyes, weight, height, records of violations, arrests, and accidents. These records also include expiration dates of Motor Vehicle Operator permit, any limitations imposed on its use and the results of the annual review of each driving record.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

40 U.S.C. 471.

PURPOSE(S):

These records are used as a basis for issuing a SF-46 "U.S. government Motor Vehicle Operator's Identification Card", to evaluate its use, and to revoke it when appropriate. These records are maintained in each component of the Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in this system of records may be used:

(1) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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 records or other pertinent records, such as current licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the requesting agency's decision on the matter.

(3) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(4) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of

records, the Department will make such records available.

(5) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(6) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(7) By the Office of Personnel Management in carrying out its functions.

(8) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(9) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

Stored in Official Personnel Folder, in file folders, and index cards.

RETRIEVABILITY:

Records are retrievable by name. They may also be used for production of summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for related personnel management functions.

SAFEGUARDS:

Access to and use of these records are limited to personnel whose official

duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

RETENTION AND DISPOSAL:

Records are retained for three years after the individual's government motor vehicle operator's permit expires, or the individual leaves the Department, and are then destroyed. (See HHS Personnel Instruction 293-1, Exhibit S293-1-1, item 24.)

SYSTEM MANAGER(S) AND ADDRESS:

Personnel Officers of the Department shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

NOTIFICATION PROCEDURE:

Personnel officers in organizational units in which employed or systems managers shown above. Individual should provide name and organization in which employed.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2) Federal Register, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the officials at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information contained in this system of records is obtained: (1) from information supplied by the individual, or (2) derived from information supplied by the individual, or (3) from information supplied by officials of the Department.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-90-0017

SYSTEM NAME:

Pay, Leave and Attendance Records, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Pay Systems Division, Department of Health and Human Services, 330 Independence Avenue SW., Washington, D.C. 20201.

Payroll Liaison Representatives. See Appendix 1, Timekeepers in organizational units serviced by Payroll Liaison Representatives shown in Appendix 1. Personnel offices shown in HHS System 09900006, Applicants for Employment Records, Appendix 1.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All paid employees of the Department of Health and Human Services including PHS Commissioned Corps Personnel.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records relating to pay and leave determinations made about each employee of the Department of Health and Human Services. In addition to the name of the employee, the system includes information such as the employee's date of birth, social security number, home address, grade or rank, employing organization, timekeeper number, salary, Civil Service retirement fund contributions, pay plan, number of hours worked, annual and sick leave accrual rate and usage, annual and sick leave balance, FICA withholdings, Federal, state and city tax withholdings, Federal Employees Government Life Insurance withholdings, Federal Employees Health Benefits withholdings, garnishment documents, savings allotments, union and management association dues withholdings allotments, savings bonds allotments, and Combined Federal Campaign allotments; for Commissioned Corps Personnel, information such as the following is included: years of service, payroll number, base pay, incentive pay, hazardous pay, allowances and Servicemen's Group Life Insurance.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 5501 et seq., 5525 et seq., 6301 et seq.; 42 U.S.C. 201 et seq.; and Pub. L. 90-83.

PURPOSE(S):

Records in this system are used to insure that each employee receives the proper pay and allowances; that proper reductions and authorized allotments are made from employees' pay; and that employees are credited and charged with the proper amount of sick and annual leave. These records are maintained in each component of the Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in this system of records is used or may be used.

(1) To prepare W-2 Forms to submit to the Internal Revenue Service and to disclose to state and local government agencies having taxing authority pertinent records relating to employees, including name, home address, social security number (in accordance with Section 7 of Pub. L. 93-579), earned income, and amount of taxes withheld.

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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.

(3) 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 records or other pertinent records, such as current licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(7) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(8) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(9) By the Department of Labor to make compensation determination in connection with a claim filed by the employee for compensation on account of a job-connected injury or disease.

(10) To respond to court orders for garnishment of an employee's pay for alimony or child support.

(11) To respond to orders from IRS for garnishment of an employee's pay for Federal income tax purposes.

(12) To the Department of Treasury for the purposes of preparing and issuing employee salary and compensation checks and U.S. Savings Bonds.

(13) By state offices of unemployment compensation in connection with claims filed by former HHS employees for unemployment compensation.

(14) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(15) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United

States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department of any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

(16) By financial organizations designated to receive labor organization or management association dues withheld from employee's pay, in order to account for the amounts of such withheld dues which they receive.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Magnetic tape, microfilm, punch cards and forms.

RETRIEVABILITY:

Records are maintained by pay period and are retrievable by name, SSN and Timekeeper number within each pay period. Records are also used to produce summary descriptive statistics and analytical studies in support of the functions for which the records are collected and maintained and for related personnel management functions or pay studies, and for other purposes compatible with the intent for which the records system was created.

SAFEGUARDS:

Access to and use of these records are limited to personnel whose official duties require such access. Personnel screening is employed to prevent unauthorized disclosure.

RETENTION AND DISPOSAL:

Records submitted by the individual, such as allotment authorization forms, home address forms, and tax withholding forms are retained until superseded by new forms or until the individual leaves the Department. Most of these records are then destroyed. Some of these records must be retained for an additional period, or forwarded to the new employing agency. Time and attendance records are retained for five years and are then destroyed. The automated payroll master record, established when the individual is first employed and continually updated throughout the period of his or her employment, is retained until the individual leaves the Department.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Pay Systems Division, P.O. Box 1825, Washington, D.C. 20013.

NOTIFICATION PROCEDURE:

An individual may contact the system manager. An individual also may contact, as appropriate, Payroll Liaison Representatives in Appendix 1 or Personnel Officers shown in HHS System 099000006, Applicants for Employment Record, Appendix 1. Provide name, social security number, timekeeper number and pay period about which inquiring.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410).

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411.).

RECORD SOURCE CATEGORIES:

Information in this system of records is (1) supplied directly by the individual, or (2) derived from information supplied by the individual, or (3) supplied by timekeepers and other Department officials.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix 1

Office of the Secretary

Payroll Liaison Officer, Room 4355 HHS North Bldg., 330 Independence Ave., SW., Washington, D.C. 20201

Health Care Financing Administration

Payroll Liaison Officer, HCFA, East Low Rise Building, P.O. Box 17255, Baltimore, MD 21203

Office of Human Development Services

Payroll Liaison Officer, Room 347 D, Hubert H. Humphrey Building, 200 Independence Ave., SW., Washington, DC 20201

Office of Child Support Enforcement

Payroll Liaison Officer, Room 1010 Beltway View Bldg., 6110 Executive Blvd., Rockville, MD 20852

Social Security Administration Headquarters

Payroll Liaison Officer, SSA Headquarters, Room L 1100 West Low Rise Bldg., 6401 Security Blvd., Baltimore, MD 21235
 Payroll Liaison Officer, SSA, ORS, Universal Bldg., Room 934, 1975 Connecticut Ave., NW., Washington, D.C. 20009

Regional Offices

Region I, Payroll Liaison Officer, JFK Federal Bldg., Room 1503, Government Center, Boston, MA 00203
 Region II, Payroll Liaison Officer, Personnel Support Branch, Room 39-120, 26 Federal Plaza, New York, NY 10007
 Region III, Payroll Liaison Officer, P.O. Box 13716, Philadelphia, PA 19101
 Region IV, Payroll Liaison Officer, 101 Marietta Tower, Suite 1601, Atlanta, GA 30331
 Region V, Office of Personnel 31st Floor, Payroll Liaison Officer, 300 South Wacker Drive, Chicago, IL 60606
 Region VI, Regional Personnel Office, Room 1035, 1200 Main Street, Dallas, TX 75020
 Region VII, Payroll Liaison Officer, Regional Personnel Office, 601 E 12th Street, Kansas City, MO 64106
 Region VIII, Payroll Liaison Officer, Federal Office Building, Room 1028, 19th and Stout Street, Denver, CO 80294
 Region IX, Regional Personnel Office, Room 138A, 50 United Nations Plaza, San Francisco, CA 94102
 Region X, Payroll Liaison Officer, Regional Personnel, Arcade Plaza Bldg., Mail Stop 627, 1321 Second Avenue, Seattle, WA 98007
 Regional Personnel Branch Office, Payroll Liaison Officer, 24000 Avila Road, 5th Floor, Laguna Niguel, CA 92677
 Regional Personnel Branch Office, Payroll Liaison Officer, 1301 Superior Avenue—Suite 240, Cleveland, OH 44114

Social Security Administration Program Centers

Mid Atlantic, Payroll Liaison Officer, Program Service Center, P.O. Box 3579, Philadelphia, PA 19122
 Great Lakes, Payroll Liaison Officer, Program Service Center, 600 West Madison St., Chicago, IL 60606
 Southeastern, Payroll Liaison Officer, Birmingham Program Service Center, P.O. Box 10364, Birmingham, AL 35202
 North Eastern Payroll Liaison Officer, Program Service Center, 9605 Horace Harding Expressway, Flushing, NY 11368
 Mid-American, Payroll Liaison Officer, Program Service Center, 601 East 12th Street, Kansas City, MO 64106
 Western, Payroll Liaison Officer, Richmond Personnel Operations Center, Program Service Center, P.O. Box 2431, Richmond, CA 94802

Social Security Administration District Offices

New York, SSA, Payroll Liaison Officer, 26 Federal Plaza Room 40-114, New York, NY 10007
 Philadelphia, SSA, Payroll Liaison Officer, P.O. Box 13716 Philadelphia, PA 19101
 Chicago, SSA, Payroll Liaison Officer, 300 South Wacker Drive, Chicago, IL 60606

Kansas City, SSA, Payroll Liaison Officer, 601 E 12th Street, Kansas City, MO 64106
 San Francisco, Payroll Liaison Officer, Room 138A, 50 United Nations Plaza, San Francisco, CA 94102
 Cleveland, SSA, Payroll Liaison Officer, 1301 Superior Avenue—Suite 240, Cleveland, OH 44114
 SSA, Wilkes Barre Data Operations Center, Room 903, VA Bldg., 19 N. Main Street, Wilkes Barre, PA 18701
 SSA Data Operations Center, Payroll Liaison Officer, P.O. Box 4429, Station A, Albuquerque, NM 87106
 Boston, SSA, Payroll Liaison Officer, SSA, Room 1105, JFK Bldg., Government Center, Boston, MA 02203
 Atlanta, SSA, Payroll Liaison Officer, 101 Marietta Tower, Suite 1601, Atlanta, GA 30331
 Dallas, SSA, Payroll Liaison Officer, Room 1035, 1200 Main Street, Dallas, TX 75020
 Denver, SSA, Payroll Liaison Officer, Federal Office Building, Room 1196, 19th and Stout Street, Denver, CO 80294
 Seattle, SSA, Payroll Liaison Officer, Regional Personnel, Arcade Plaza Bldg., Mail Stop 627, 1321 Second Avenue, Seattle, WA 98007
 SSA, Record Center, P.O. Box 25, Boyers, PA 16020
 SSA Data Operations Center, Payroll Liaison Officer, 100 East Alvin Drive, Salinas, CA 93906
 SSA, Office of Hearings and Appeals, Room 102, Braedon Building, 3833 Fairfax Drive, Arlington, VA 22203

Public Health Service

Center for Disease Control, Payroll Liaison Officer, Personnel Management Office, 1600 Clifton Road NE., Atlanta, GA 30333
 National Inst. of Environmental Health Services Payroll Liaison Officer, P.O. Box 12233, Research Triangle Park, NC 27709
 Food & Drug Administration, Payroll Liaison Officer, HFA 125 Parklawn Bldg., Room 1182, 5600 Fishers Lane, Rockville, MD 20857
 Alcohol, Drug Abuse and Mental Health Administration, Payroll Liaison Officer, Room 1397, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20857
 National Institute of Health, Payroll Liaison Officer, Bldg. 31, Room B1B 30, 9000 Rockville Pike, Bethesda, MD 20014
 Health Resources and Services Admin & Office of Asst. Sec. for Health, Payroll Liaison Officer, Room 1649, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD 20852
 CDC, NIOSH, Payroll Liaison Officer, Financial Management Branch, Parklawn Bldg. 8A-10, 5600 Fishers Lane, Rockville, MD 20857

Indian Health Service

Payroll Liaison Officer, Indian Health Service Area Office, Room 215, Federal Building, Aberdeen, SD 57401
 Payroll Liaison Officer, Albuquerque Indian Health Service, Federal Office Building and U.S. Courthouse, Room 4005, 500 Gold SW., Albuquerque, NM 87101
 Payroll Liaison Officer, Alaska Area Native Health Service, Area Personnel and Training Branch, P.O. Box 7-741, Anchorage, AK 99501

Payroll Liaison Officer, Phoenix Area Indian Health Service, 3738 N. 16th Street, Suite A, Phoenix, AZ 85014
 Payroll Liaison Officer, Oklahoma City Area Indian Health Service, 388 Old Post Office & Courthouse Bldg., Oklahoma City, OK 73102
 Payroll Liaison Officer, Indian Health Service, 1220 SW. 3rd Avenue, Room 476, Portland, OR 97204
 Payroll Liaison Officer, Indian Health Service Area Office, P.O. Box 2143, Billings, MT 59101
 Payroll Liaison Officer, Navajo Area Indian Health Service, P.O. Box G, Attn: Financial Management Branch, Window Rock, AZ 86515
 Payroll Liaison Officer, Indian Health Service, Data Processing Center, 2401 12th Street NW.—Room 3N, Albuquerque, NM 87198
 Payroll Liaison Officer, Phoenix Indian Medical Center, 4212 N. 16th St., Phoenix, AZ 85016
 Payroll Liaison Officer, Office of Research and Development, P.O. Box 11340, Tucson, AZ 85734
 Payroll Liaison Officer, Gallup Indian Medical Center, P.O. Box 1337, Gallup, NM 87301

Public Health Service Hospitals

Payroll Liaison Officer, St. Elizabeth's Hospital, Room 101 E. Building, 2700 Martin Luther King Ave., SE., Washington, D.C. 20032
 Payroll Liaison Officer, USPHS Hospital, Carville, LA 70721

Department of Education

Payroll Liaison Officer, National Institute of Education, Financial and Data Division, Room 710D, 1200 19th Street, Washington, D.C. 20208
 Payroll Liaison Officer, Department of Education, Hdqtrs., Room 3092, 400 Maryland Ave., SW., Washington, D.C. 20201

09-90-0018

SYSTEM NAME:

Personnel Records in Operating Offices, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Operating Offices of the Department at the organizational level of the individual's employment. Such offices are located within organizational components serviced by personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current employees of the Department.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records relating to personnel actions

and determinations made about an individual while employed. These records may contain information about an individual relating to name; birth date; home address; telephone number; emergency address; social security number; veterans preference; tenure; work connected injuries; employment history; qualifications background; past and present salaries, grades and position titles; training; awards and other recognition; counseling; performance appraisal; conduct; pay and leave; and data documenting reasons for personnel actions, decisions or recommendations made about an employee; and background data and documentation leading to an adverse action or other personnel action being taken against an employee.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 1302, 2951, 4118, 4308, 4506, 7501, 7511, 7521 and Executive Order 10561.

PURPOSE(S):

These records are used by operating officials in carrying out their personnel management responsibilities. They may be used in this connection in recommending or taking personnel actions such as appointments, promotions, reassignments, within-grade increases, adverse actions; as a basis for employee training, recognition, or disciplinary actions; and as a basis for staffing and budgetary planning and control, organizational planning, and manpower utilization purposes. These records are maintained in each component of the Department.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in these records may be used:

(1) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(2) In the event an appeal is made outside the Department, records which are relevant may be referred to the appropriate agency charged with rendering a decision on the appeal.

(3) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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.

(4) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(5) 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 records or other pertinent records, such as current licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the requesting agency's decision on the matter.

(6) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(7) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(8) Where a contract between a component of the Department and a

labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(9) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(10) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(11) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained in file folders, magnetic tape, and index cards.

RETRIEVABILITY:

Records are indexed by any combination of name, birth date, social security number, or identification number.

SAFEGUARDS:

Access to and use of these records are limited to those persons whose official duties require such access.

RETENTION AND DISPOSAL:

Records are retained until there is no further administrative need to retain them, or the individual leaves the jurisdiction of the operating office, and are then either destroyed, or, if appropriate, are combined with the Official Personnel Folder, which is

forwarded to the hiring Federal agency or, if the employee is leaving Federal service, to the Internal Personnel Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Personnel Officers of the Department. See Applicants for Employment Records, HHS System 09900006, Appendix 1.

NOTIFICATION PROCEDURE:

Immediate supervisors of individuals or the administrative offices of the organizational units in which employed. The system manager shown above may also provide further information concerning the existence of this system of records. Individuals should provide their name, social security number, and organization in which employed.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information in this system of records either comes from the individual to whom it applies, is derived from information supplied by the individual, or is provided by Department officials.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Note.—When supervisors/managers retain personal "supervisory" notes, i.e., information on employees, over which the agency exercises no control and does not require in its performance appraisal system, which remain for the personal use of the author and are not provided to any other persons, which are retained or discarded at the author's sole discretion, and which are not used in appraising an employee or in determining any rights, benefits or privileges of an employee, such notes are mere extensions of the supervisor's memory which are not subject to the Privacy Act and, therefore, not considered part of this system. If any of the above conditions are broken, these notes are no longer mere extensions of the supervisor's memory and become records

subject to the Privacy Act in this system notice or another appropriate system notice.

09-90-0019

SYSTEM NAME:

Special Employment Program Records, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Personnel Offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and operating offices in organizational units services by those personnel offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current Federal employees of the Department who are participating in special employment programs.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records relating to an employee's participation in special employment programs such as the Upward Mobility College, START, STRIDE, ACCESS, Worker Trainee Opportunity, Junior Fellows, Management Intern, Personnel Intern and the HHS Fellows Program. Examples of information which this records system may contain include the employee's name, SSN, program enrolled in, employing agency, grade, job title, job series, sex, date of birth, status, education background, handicap code, application for employment, position description, assignment evaluations, Veterans preference, job counseling records, and letters of reference and recommendations.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5. U.S.C. 1301, 3301, 7151 et seq., Executive Order 11813.

PURPOSE(S):

Records are used by personnel offices and operating officials to select individuals for and monitor their progress in special employment programs; employee development and career planning; and as a basis for taking personnel actions. These records are maintained in each component of the Department.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in this system may be used:

(1) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment

Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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.

(3) 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 records or other pertinent records, such as current licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the requesting agency's decision on the matter.

(4) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(5) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights

Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(6) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(7) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(8) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(9) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purposes for which the records collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

Information in this system of records is maintained in file folders, data tape and punch cards.

RETRIEVABILITY:

Records are retrievable by name and SSN.

SAFEGUARDS:

Access and use of these records are limited to those persons whose official duties require such access.

RETENTION AND DISPOSAL:

Records are retained for two years after the individual's participation in a special placement program ends, and

are then destroyed. (See HHS Personnel Instruction 293-1, Exhibit X293-1-2, item 9.)

SYSTEM MANAGER(S) AND ADDRESS:

Personnel Officers shown in Applicants for Employment Records, HHS System 09900006, Appendix 1, who service organizational units in which the participant is employed.

NOTIFICATION PROCEDURE:

Same as above. Individuals should include their name, SSN, grade, title, and organization when contacting the system manager.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) *Federal Register*, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) *Federal Register*, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information in this system of records is: (1) supplied directly by the individual, or (2) derived from information supplied by the individual, or (3) supplied by Department officials.

09-90-0020

SYSTEM NAME:

Suitability for Employment Records, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Personnel Offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Employees of the Department and applicants for employment.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records relating to an individual's suitability for employment in terms of character, reputation and fitness, including letters of reference, responses to pre-employment inquiries. National

Agency Checks and Inquiries material received from the Office of Personnel Management and Merit Systems Protection Board including its Office of the Special Counsel relating to non-sensitive positions, qualifications and character investigations, and other information which may relate to the suitability of the individual for the position.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5. U.S.C. 3301, 3302, 7301; Executive Order 10577; Executive Order 11222.

PURPOSE(S):

Records in this system are used by designated appointing and selecting authorities to make determinations concerning an individual's suitability for employment. These records are maintained in each component of the Department.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in these records may be used:

(1) By the Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(2) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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.

(3) In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

(4) 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 records or other pertinent records, such as current

licenses, if necessary to obtain a record 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.

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 record is relevant and necessary to the requesting agency's decision on the matter.

(5) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 state or local 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.

(6) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(7) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(8) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(10) In the event of litigation where the defendant is (a) the Department, any

component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

Records are maintained in file folders.

RETRIEVABILITY:

Records are indexed by any combination of name, date of birth, Social Security Number, or identification number.

SAFEGUARDS:

Records are maintained in confidential files and are located in lockable metal file cabinets or in metal file cabinets in secured rooms with access limited to those whose official duties require access.

RETENTION AND DISPOSAL:

Records from the Office of Personnel Management and Merit Systems Protection Board including its Office of the Special Counsel concerning applicants for or incumbents of nonsensitive positions, are retained until a decision is reached on whether to hire or retain the applicant or incumbent, and are then destroyed. Other records in this system are retained until there is no further administrative need for them, the individual leaves the Department, or one year has elapsed, and are then destroyed. (See HHS Personnel Instruction 293-1, Exhibit x293-1-2, items 1 and 2.)

SYSTEM MANAGER(S) AND ADDRESS:

Heads of personnel offices which service organizational units in which individual is employed or in which he/she applied for employment. See Applicants For Employment Records, HHS, System 09900006, Appendix 1.

NOTIFICATION PROCEDURE:

Same as above, individuals should indicate name, Social Security Number, date of birth, and organization in which

employed, or to which they applied for employment.

RECORD ACCESS PROCEDURES:

Current Department employees or applicants should contact the appropriate system manager shown above. Former Department employees who are employed by the Federal Government who wish to gain access or contest the records maintained on them while employed by the Department should contact the appropriate official of their current employing agency in accordance with the appropriate records system notice of that agency. Former Department employees who have separated from Federal service should direct a request to: National Personnel Records Center, General Services Administration, 111 Winnebago Street, St. Louis, Missouri 63118.

Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) **Federal Register**, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) **Federal Register**, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information contained in the system is obtained from:

Applications and other personnel and security forms furnished by the individual.

Information furnished by other Federal agencies.

Information provided by sources such as employers, schools, references, former employers.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

Individuals will be provided information from the above record system except when in accordance with the provisions of 5 U.S.C. 552a(k)(5); 1. disclosure of such information would reveal the identity of a source who furnished information to the Government under a express promise that the identity of the source would be held in confidence, or 2. if the information was obtained prior to the effective date of Section 3, Pub. L. 93-579, disclosure of such information would reveal the identity of a source

who provided information under an implied promise that the identity of the source would be held in confidence. (45 CFR 5b.11.)

09-90-0021

SYSTEM NAME:

Training Management Information System, HHS/OS/ASPER

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of the Assistant Secretary for Personnel Administration, Department of Health and Human Services, 200 Independence Ave., S.W., Washington, D.C. 20201.

Personnel offices shown in Applicants for Employment Records, HHS System 09900006, Appendix 1.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All employees who receive training in a course which was more than 8 hours in length and which was authorized under the authority of the Government Employees Training Act.

CATEGORIES OF RECORDS IN THE SYSTEM:

The Training Management Information System consists of a variety of records relating to training received by an employee. In addition to the name of the employee, the system includes information about the employee's Social Security Account Number, position title, grade, salary, pay plan, series, tenure, years of continuous service, nature of training taken, cost of training and dates of training.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 4101 et seq.; Executive Order 11348.

PURPOSE(S):

Records in this system are used to maintain a history of employee training, to help determine future training needs, to evaluate the Department's training program, and for audit and budgetary planning purposes. These records are maintained in each component of the Department.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in this system of records is used:

(1) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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 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 record is relevant and necessary to the requesting agency's decision on the matter.

(3) In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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 of the appropriate agency, whether state or local 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.

(4) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(5) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(6) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(7) By the Office of Personnel Management in carrying out its functions.

(8) To other Federal agencies or private organizations to authorize training.

(9) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

(10) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

Data tape.

RETRIEVABILITY:

Records are indexed by any combination of name, birth date, SSN or transaction number.

SAFEGUARDS:

The information is available only to authorized personnel. Personnel screening is used to prevent unauthorized disclosure.

RETENTION AND DISPOSAL:

Records are retained in the automated data file until the individual leaves the Department.

SYSTEM MANAGER(S) ADDRESS:

Deputy Assistant Secretary for Personnel
Office of the Assistant Secretary for Personnel Administration
Department of Health and Human Services,
200 Independence Avenue, S.W.,
Washington, D.C. 20201.

NOTIFICATION PROCEDURE:

Contact the Deputy Assistant Secretary for Personnel or the personnel office shown in Applicants for Employment Records, HHS System 09900006, Appendix 1, which services the organizational unit in which the individual is employed. The individual

should indicate name, position title, grade and series and organization in which located.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requester should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) Federal Register, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) Federal Register, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information in this system of record is: (1) supplied directly by the individual, or (2) derived from information supplied by the individual, or (3) supplied by Department or by source of training officials.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-90-0022

SYSTEM NAME:

Volunteer EEO Support Personnel Records, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of the Deputy Assistant Secretary for EEO, 200 Independence Avenue, S.W., Washington, D.C. 20201. Office of the designated EEO Officers. See Discrimination Complaints Records System. HHS System 09900009, Appendix 01 for exact locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who have volunteered or have been proposed for duty as EEO Counselors and discrimination complaint investigators on a part-time basis.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system of records contains information or documents concerning the personal characteristics of EEO counselors and investigators. The records consist of the name and other identifying data, title, location, training received, information concerning

qualifying background, case assignments, and evaluations of EEO counselors and investigators serving on a part-time basis, and related information.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Executive Order 11478, Pub. L. 92-261, Pub. L. 93-259.

PURPOSE(S):

These records are used to identify, locate, and determine the availability of volunteer counselors and investigators for assignment; to determine training needs of counselors and investigators. These records are maintained in each component of the Department. See "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

These records and information in the records may be used:

(1) To provide resource to another Federal Agency, in response to its request for loan of investigators or counselors.

(2) 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 record is relevant and necessary to the requesting agency's decision on the matter.

(3) Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

(4) Where a contract between a component of the Department and a labor organization recognized under E.O. 11491 or 5 U.S.C. Chapter 71 provides that the agency will disclose personal records relevant to the organization's mission, records in this system of records may be disclosed to such organization.

(5) The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise, refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

(6) By the Office of Personnel Management, Merit Systems Protection Board (including its office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses Panel) in carrying out their functions.

(7) Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

(8) In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.

STORAGE:

These records are maintained in file folders, binders and index cards.

RETRIEVABILITY:

These records are indexed by the names of the individuals on whom they are maintained. They may be used: to provide 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; and to locate specific individuals for personnel research or other personnel management functions.

SAFEGUARDS:

Access to and use of these records are limited to those persons whose official duties require access.

RETENTION AND DISPOSAL:

The records are maintained up to one year after volunteer has terminated his services, at which time they are destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

See Discrimination Complaints Records System, HHS System 09900009, Appendix 1 for General Coordinator and appropriate Immediate System Manager.

NOTIFICATION PROCEDURE:

Individuals who have volunteered or been proposed as counselor or investigators are aware of that fact and the information contained in the record. They may, however, write the immediate system manager or coordinator indicated above regarding the existence of such records pertaining to them. The inquirers, as appropriate, should provide to the immediate system manager or coordinator, their name, agency in which they were proposed or served when making inquiries about records.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) *Federal Register*, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR, Section 5b.7) *Federal Register*, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

- Individuals to whom the record pertains
- Department or other officials
- Official documents relating to appointments and case assignments as counselors and investigators
- Correspondence for specific persons or organizations
- Formal reports submitted by the individual in the performance of official volunteer work.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-90-0036

SYSTEM NAME:

Employee Suggestion Program Records, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

This system is located in employee suggestion offices of the Department. See Appendix 1 for exact locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who have made suggestions in OS and in Operating Divisions of the Department; and/or suggestions made by individuals in other Federal Departments requiring an HHS evaluation.

CATEGORIES OF RECORDS IN THE SYSTEM:

Suggestions, evaluations of suggestions, name and address of individuals submitting suggestions, other identifying information such as salary and grade, including position title, and, optionally, a social security account number.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 4501 et seq.

PURPOSE(S):

Records in this system are used to control, evaluate, and make award determinations on employee suggestions. These records are maintained in each component of the Department.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

To the Office of Personnel Management for information, possible award. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM.**STORAGE:**

The records are maintained in standard sized file cabinets.

RETRIEVABILITY:

The records are indexed in alphabetical order by the name of the employee submitting the suggestion.

SAFEGUARDS:

Direct access restricted to authorized staff.

RETENTION AND DISPOSAL:

After final action, suggestion records are maintained for two years and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

See Appendix 1 for overall system manager and immediate system managers.

NOTIFICATION PROCEDURE:

Contact the appropriate system manager indicated in Appendix 1.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, 5b.5(a)(2)) *Federal Register*, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) *Federal Register*, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Incoming suggestions, responses, evaluations and other material obtained during course of adjudication.

Appendix 1

List of System Managers and Locations for Employee Suggestion Matters.

Overall System Manager:

Employee Suggestion Officer, Room 1232,
Switzer Building, 330 C St., SW.,
Washington, D.C. 20201

Immediate System Managers:

Employee Suggestion Officer, Social Security Administration, G-110 West High Rise,
Maryland 21235

Employee Suggestion Officer, Health Care Financing Administration, GP3, East Low

Rise, 6401 Security Blvd., Baltimore, Maryland 21235

Employee Suggestion Officer, Office of Human Development Services, Humphrey Building, Room 345D, 200 Independence Ave. SW., Washington, D.C. 20201

PHS OASH Employee Suggestion Officer, 17-75 Parklawn Building, Rockville, Maryland 20857

CDC Employee Suggestion Officer, 1600 Clifton Road NE., Building 1, 8062, Atlanta, Georgia 30333

FDA Employee Suggestion Officer, 5600 Fishers Lane, Room 9-57, Rockville, Maryland 20857

HRSA Employee Suggestion Officer, Room 14A-30 Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

ADAMHA Employee Suggestion Officer, 12C-05 Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857

NIH Employee Suggestion Officer, Building 31, Room 3-B-07, Bethesda, Maryland 20205

Regional Employee Suggestion Officer, Region I, Department of Health and Human Services, John F. Kennedy Federal Building, Government Center—Room 2411, Boston, Massachusetts 02203

Regional Employee Suggestion Officer, Region II, Department of Health and Human Services, Regional Personnel Office, Operations Branch II, Room 39-120, 26 Federal Plaza, New York, New York 10007

Employee Suggestion Officer, Region III, Department of Health and Human Services, 3535 Market Street, Room 9400, Philadelphia, Pennsylvania 19101

Employee Suggestion Officer, Region IV, Department of Health and Human Services, 101 Marietta Towers, Room 1601, Atlanta, Georgia 30323

Employee Suggestion Officer, Region V, 31st Floor, 300 S. Wacker Drive, Chicago, Illinois 60606

Employee Suggestion Officer, Region VI, Department of Health and Human Services, 1200 Main Towers, Room 1000, Dallas, Texas 75202

Employee Suggestion Officer, Region VII, Department of Health and Human Services, Room 468, 601 E. 12th Street, Kansas City, Missouri 64106

Employee Suggestion Officer, Region VIII, Department of Health and Human Services, Federal Office Building, Room 1031, 1961 Stout Street, Denver, Colorado 80294

Employee Suggestion Officer, Region IX, Department of Health and Human Services, Federal Office Building, Room 419, 50 United Nations Plaza, San Francisco, California 94102

Employee Suggestion Officer, Region X, Department of Health and Human Services, Arcade Plaza, Room 6039, 1321 Second Avenue, Seattle, Washington 98101

09-90-0059

SYSTEM NAME:

Federal Advisory Committee

Membership Files, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None

SYSTEM LOCATION:

Department and component committee management offices. See Appendix 1.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who have been or are presently members of or are being considered for membership on advisory committees within the jurisdiction of the Department of Health and Human Services. Additionally the system of records contains information about members of the public who have requested that they receive various publications through the inclusion of their names and addresses on various mailing lists.

CATEGORIES OF RECORDS IN THE SYSTEM:

Information maintained on those individuals who have requested participation on mailing lists is limited to name and mailing address. Information maintained on individuals who are past, present, or recommended members of advisory committees subject to this notice consists of one or more of the following name, title, sex, place and date of birth, home address, business address, organizational affiliation, phone number, degrees held, general educational background, ethnic background, resume, curriculum vitae, dates of term on advisory committee, status on advisory committee, reason for leaving advisory committee, previous or current membership on other advisory committees, special qualifications of the individual for the advisory committee membership, source who recommended the individual for membership on advisory committee and miscellaneous correspondence. Additionally, memoranda justifying the individual's selection are included in the file in cases in which the individual has served repetitively on advisory committees, has not had a one-year break in service on advisory committees, or where various statutory or other requirements for advisory committee membership cannot be met.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Federal Advisory Committee Act (5 U.S.C. App. I et seq.).

PURPOSE(S):

Records in this system are used in the administration and management of Federal advisory committees in the Department, including the preparation of

reports; quarterly alphabetical listings of past, present, and recommended advisory committee members; lists of vacancies, acceptances, and separations; and documentation of nominations. These records are maintained in each component of the Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Annual Report to the President; administrative reports to OMB and GSA.

In the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program 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, 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.

In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosure may be made to the Department of Justice for the purpose of obtaining its advice.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected. Disclosure may be made to a congressional office from the Record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained in hard-copy filed in file cabinets, on index cards, on magnetic tape, or in computer storage.

RETRIEVABILITY:

For the most part records are maintained in an alphabetical index by name of the individual. Certain files are based on other factors, e.g., Advisory Committee name, with a cross index based on an alphabetical listing of individuals. Certain other records are retrievable by individually identifiable computer identification codes. Certain of the mailing lists which are maintained are indexed by ZIP Code and within zone by alphabetical listing by name of the individual. Records from the system are available to the staffs of the respective Advisory Committees, the Committee Management Officers, the Departmental Committee Management Officer and other Departmental staff on a need-to-know basis.

SAFEGUARDS:

Direct access to records is restricted to authorized personnel through locked files, rooms, and buildings as well as building pass and security guard sign-in systems. Certain facilities are also protected by closed circuit television systems. Computer systems are secured through locked magnetic tape libraries as well as lockword-password computer access systems.

RETENTION AND DISPOSAL:

Retention is variable from one year to permanent retention depending upon the type of record, e.g., names of former members of advisory committees are retained permanently. Certain records are disposed of by referral to the Federal Records Center. Others are disposed of as trash by the system manager or office of security depending upon the confidentiality of the information contained on the record.

SYSTEM MANAGER(S) AND ADDRESS:

See Appendix 1.

NOTIFICATION PROCEDURE:

Same as above with the exception of Food and Drug Administration, contact: FDA Privacy Coordinator (HF-50), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20852.

Verification of identification of individuals inquiring as to information contained in this System shall be in accordance with the procedures outlined in regulations published by the

Department of Health and Human Services to implement the Privacy Act.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR 5b.5(a)(2)) **Federal Register**, October 8, 1975, page 47410.)

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) **Federal Register**, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

The vast majority of information contained in records on individuals is obtained directly from the individual. Other information in the form of references and recommendations is obtained from other private individuals, program personnel, biographical reference books, private organizations, former employers, regional office of HHS, Members of Congress, and other government sources.

Appendix 1

Department of Health and Human Services, Department Committee Management Officer, Mary Switzer Building, Room 2319, 330 Independence Ave., SW., Washington, D.C. 20201

Alcohol, Drug Abuse, and Mental Health Administration, Office of the Administrator, Committee Management Officer, Room 13-103, 5600 Fishers Lane, Rockville, Maryland 20857

Centers for Disease Control, Committee Management Officer, Management Analysis Branch, Building 4, Room 225, 1600 Clifton Road, N.E. Atlanta, Georgia 30333

Food and Drug Administration, Office of Management and Operations, Division of Management Systems and Policy, Committee Management Office, Room 12-21, 5600 Fishers Lane, Rockville, MD 20857

Health Care Financing Administration, Records Committee Management Officer, Bay A-1, 1710 Gwynn Oak Avenue, Baltimore, Maryland 21235

Health Resources and Services Administration, Office of Program Policy Coordination, Committee Management Officer, Parklawn Building, Room 14-05, 5600 Fishers Lane, Rockville, Maryland 20857

National Institutes of Health, Committee Management Officer, National Institutes of Health, Building 01, Room 303, Bethesda, Maryland 20205

Social Security Administration, OMBP, Office of Management, Budget and Personnel, Committee Management Officer, Room 828, Altmeyer Building, 6401 Security Boulevard, Baltimore, Maryland 21235

Office of the Assistant Secretary for Health, OASH Committee Management Officer, Parklawn Building, Room 17-69, 5600 Fishers Lane, Rockville, Maryland 20857

Office of the Assistant Secretary for Planning and Evaluation, Committee Management Officer, Room 405-F, HHH Building, 200 Independence Ave., S.W., Washington, D.C. 20201

Office of the Assistant Secretary for Human Development Services, Committee Management Officer, Room 308-E, HHH Building, 200 Independence Ave., S.W., Washington, D.C. 20201

09-90-0069

SYSTEM NAME:

Unfair Labor Practice Records, HHS/OS/ASPER.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Personnel Offices of the Department shown in Applicants for Employment Records, HHS System 09900006, Appendix 1 and offices of operating officials in organizational units serviced by those Personnel Offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current HHS employees and union officials.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system of records consists of a variety of records relating to an unfair labor practice charge. Examples of information which may be included in this system are the employee's name, Social Security Number, grade, job title, employment history and a variety of work and personnel records associated with the charges and required under proceedings established by Title 5, United States Code, Chapter 71 and Department of Labor Regulations.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Executive Order 11491, as amended, 5 U.S.C. Chapter 71.

PURPOSE(S):

These records are used to initiate, make a determination on, and document a decision made on unfair labor practice charges filed by an employee or union official. These records are maintained in each component of the Department. See also "Retrievability" below.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information in this system may be released to:

1. Office of Personnel Management, Merit Systems Protection Board (including its Office of the Special Counsel), Equal Employment Opportunity Commission, and the Federal Labor Relations Authority (including the General Counsel of the Authority and the Federal Service Impasses panel) in carrying out their functions;

2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

3. In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosures is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are maintained in file folders.

RETRIEVABILITY:

Records are retrievable by name. Information from this system may be used by Department officials for preparing statistical summary or management reports.

SAFEGUARDS:

Records are stored in lockable metal file cabinets. Access to and use of these records are limited to personnel who have a need for the records in performance of official duties.

RETENTION AND DISPOSAL:

The case files are maintained as long as they may be pertinent for purposes of precedent or as management information devices. When no longer useful for such purposes, they are destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Personnel Officer shown in Appendix 1 of Applicants for Employment Records, HHS System 09900006, who services the organizational unit in which the individual is employed.

NOTIFICATION PROCEDURE:

Contact the systems manager and provide name, approximate date of record, the unfair labor practice charge as specified by the complainant, and management component in which the charge was filed.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. (These access procedures are in accordance with Department Regulations (45 CFR, Section 5b.5(a)(2)) *Federal Register*, October 8, 1975, page 47410.)

CONTESTING RECORDS PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested and state the corrective action sought and the reasons for the correction. (These procedures are in accordance with Department Regulations (45 CFR 5b.7) *Federal Register*, October 8, 1975, page 47411.)

RECORD SOURCE CATEGORIES:

Information in this system of records is:

1. Supplied directly by the individual, or
2. Derived from information supplied by the individual, or
3. Supplied by testimony of witnesses, or
4. Supplied by union officials, or
5. Supplied by Department officials.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-90-0095

SYSTEM NAME:

Management Information System Efficiency Report (Miser), HHS/ASPER/OPSI and OCAM.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Office of Personnel Systems Integrity (OPSI), Room 2411, 330 Independence Avenue, S.W., Switzer Building, Washington, D.C. 20201

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Applicants for employment, current, or former employees, who have a formal grievance, reconsideration, merit systems complaint, or EEO complaint against the agency or agency official. Names of investigator, examiner, contractor, and/or clerical support person, who are involved in case processing.

CATEGORIES OF RECORDS IN THE SYSTEM:

The automated and manual records contain: grievant or complainant's name, grade, series, organizational unit, city, state, race, sex, type of case, issue, basis; action on case/ dates filed, received, assigned, referred to EEO or contractor, investigated, adjudicated, hearing held, report written and typed, closed; type of finding; weekly monthly, and yearly production and processing times; names of investigator, examiner, contractor, and/or clerical support staff assigned.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Executive Order 11478, 42 U.S.C. 2000e, 29 U.S.C. 633a, 5 U.S.C. 1302, 3301, 3302, Executive Order 10577; Executive Order 11787.

PURPOSE(S):

Information in this system of records is used for case management, control, and manpower planning (to prepare processing time reports, identify backlogs and case processing problems, staff utilization, budget estimations, appraise employee performance and productivity, formulate or renegotiate performance objectives).

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made:

1. To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
2. To the Department of Justice for the purposes of obtaining its advice, when desirable or necessary, to determine whether particular records are required to be disclosed under the Freedom of Information Act.
3. In the event of litigation where the defendant is (a) the Department of Health and Human Services (DHHS), any component of DHHS or any employee of DHHS in his or her official capacity; (b) the United States where DHHS determines that the claim, if successful, is likely to directly affect the operations of DHHS of any of its components; or (c) any DHHS employee

in his or her individual capacity where the Justice Department has agreed to represent such employee. DHHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

4. The Equal Employment Opportunity Commission to refine the complaints processing procedure and to provide technical assistance to Federal agencies and Departments as it relates to the efficiency and effectiveness of their complaints system.

5. The Office of Management and Budget to make a detailed and accurate assessment of the complaint's program cost effectiveness.

6. The Merit System Protection Board (including its Office of the Special Counsel) to investigate alleged violations of merit system principles.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Magnetic tapes, disks, cassette tapes, bond notebooks, paper forms, and index cards in locked file cabinets.

RETRIEVABILITY:

Information is retrieved by names, docket numbers, or any other data elements (e.g., type of cases, organizational unit, dates).

SAFEGUARDS:

Access to and use of these records are limited to those persons whose official duties require such access. Records are kept in locked files or a locked room. Data stored in the automated system is accessed through the use of keywords known only to authorized personnel.

RETENTION AND DISPOSAL:

Manual and automated records are destroyed by shredding or erasing after periods varying from 1 to 5 years after resolution for final disposition of the complaint or grievance.

SYSTEM MANAGERS AND ADDRESS:

Director, Office of Personnel Systems Integrity, Room 2046, 330 Independence Avenue, S.W., Switzer Building, Washington D.C. 20201.

NOTIFICATION PROCEDURE:

An individual can determine if this system contains a record pertaining to him or her by writing to the System Manager and by providing name and

information necessary to identify the record being sought.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record being sought.

CONTESTING RECORD PROCEDURES:

Write to the system manager, and specify the information to be contested, and state the correction action sought and the reasons for the correction.

RECORD SOURCE CATEGORIES:

Investigator, examiner, support staff, and contractor completed status reports; records completed by supervisory staff, intake or control personnel; and, from information on incoming complaint, grievance, or reconsideration.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None

[FR Doc. 82-26162 Filed 10-12-82; 6:45 am]

BILLING CODE 4150-04-M

DEPARTMENT OF HEALTH AND HUMAN SERVICES

National Institutes of Health

Privacy Act of 1974; Annual Publication of Systems of Records

AGENCY: Public Health Service, National Institutes of Health, HHS.

ACTION: Privacy Act: Annual republication of notices systems of records.

SUMMARY: The National Institutes of Health (NIH) is publishing this document to meet the requirement of the Privacy Act (5 U.S.C. 552a(e)(4)) to publish a notice describing the existence and character of each system of records at least once a year. This publication covers systems of records for which NIH is responsible.

This publication includes notices for new systems of records which have been published since the 1981 annual compilation. In addition, many of the notices which were published in the last annual publication have been modified to clarify the descriptions and to ensure that they are complete, accurate and timely. None of these changes requires a report of altered system to be sent to the Congress and the Office of Management and Budget. The notices are complete and accurate as of August 13, 1982.

SUPPLEMENTARY INFORMATION: The notices include several changes which have been made since the 1981 annual publication.

A. New Systems of Records. This publication includes the following new system of records which was published and became effective between October 8, 1981, and August 13, 1982:

09-25-0151, Administration: Alert Records Concerning Investigations or Determinations of Misconduct by Current or Potential Recipients of Funds for Biomedical Research, HHS/NIH/OD, published in the *Federal Register*, May 12, 1982, pp. 20381-20383.

B. Deleted Systems of Records. The following systems of records which appeared in the last annual publication have been deleted:

(1) 09-25-0017, Clinical Research: Epidemiology Studies Files, HHS/NIH/NINCDs. (The records in this system have been destroyed.)

(2) 09-25-0024, Clinical Research: Medical Neurology Branch Patients' Medical Histories, HHS/NIH/NINCDs. (The records in this system have been destroyed.)

(3) 09-25-0050, Grants: Trainees Record System, HHS/NIH/NIAD. (This system has been deleted because on review it was determined that this

system was described by two system notices, that for 09-25-0050 and that for system 09-25-0112, Grants: Research, Research Training, Fellowship and Construction Applications and Awards, HHS/NIH/OD. Since system 09-25-0112 includes other records in addition to those in 09-25-0050, we decided to eliminate 09-25-0050.)

(4) 09-25-0055, Clinical Research: Baltimore Cancer Research Program Patients, HHS/NIH/NCI. (The Program has been abolished and the records in this system have been destroyed.)

(5) 09-25-0095, Contracts: Principal Investigators, Project Officers and Contract Specialists on Carcinogenesis Contracts and Intramural Projects, HHS/NIH/NCI. (The records in this system have been refiled and are no longer retrieved by individual identifiers.)

(6) 09-25-0098, Contracts: Carcinogenesis Extramural Program Principal Investigators, Project Officers and Contract Specialists, HHS/NIH/NCI. (The records in this system have been destroyed.)

(7) 09-25-0114, Contracts: Personal Services Contractors, HHS/NIH/NIGMS. (The records in this system have been refiled and are no longer retrieved by individual identifiers.)

(8) 09-25-0137, Administrations: Medical Library Management Intern Program, HHS/NIH/NLM. (The records in this system have been refiled and are no longer retrieved by individual identifiers.)

C. Routine uses have been modified or deleted in several system notices. The modifications change the wording of the routine uses to make them clearer, but they do not involve or reflect any changes in policies or practices relating to disclosure outside of the agency.

1. In several systems, the routine use allowing disclosure to the Smithsonian Institution has been revised to allow disclosure to the National Technical Information Service, Department of Commerce, because of a change in the policy/procedure of providing this information to the Smithsonian Science Information Exchange. Previously this routine use was worded:

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the Smithsonian Institution to contribute to the Smithsonian Science Information Exchange.

It has been revised as follows:

Referrals may be made of assignments of research investigators and project monitors to specific research projects to the National Technical Information Service, Department of Commerce, to contribute to the Smithsonian Science Information Exchange.

This modification applies to the following system notices: 09-25-0036; 09-25-0112; 09-25-0135.

2. The routine use allowing disclosure to the Smithsonian Science Information Exchange has been deleted from the following system notices: 09-25-0001; 09-25-0002; 09-25-0009; 09-25-0016; 09-25-0019; 09-25-0020; 09-25-0021; 09-25-0026; 09-25-0028; 09-25-0031; 09-25-0037; 09-25-0038; 09-25-0039; 09-25-0040; 09-25-0042; 09-25-0043; 09-25-0044; 09-25-0053; 09-25-0100; 09-25-0126; 09-25-0134.

The deletion was made because no information on subject individuals has been, needs to be, or will be made from any of these systems to the Information Exchange.

3. A routine use allowing disclosure to the Department of Justice for the purpose of obtaining its advice regarding whether particular records must be disclosed under the Freedom of Information Act has been deleted from the following system notices: 09-25-0126; 09-25-134; 09-25-0142; 09-25-0143; 09-25-0147; 09-25-148; 09-25-0149; 09-25-150.

This routine use was worded:

In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosures may be made to the Department of Justice for the purpose of obtaining its advice.

Several years of experience administering records subject to Privacy Act and Freedom of Information Act have shown that there is no need to disclose records containing individual identifiers from any of the systems listed above to the Department of Justice in Freedom of Information Act cases. Therefore the routine use has been deleted from those systems.

4. Routine use provisions allowing disclosures to the General Accounting Office have been deleted in all cases in which they occurred. Such disclosures are allowed by section 3(b)(10) of the Privacy Act. They do not require a routine use.

5. This publication includes new and modified routine uses for system 09-25-0999, Clinical Research: Patient Medical Records, HHS/NIH/CC, which were published in the *Federal Register* on May 11, 1982, pp. 20206-20208.

D. The system notice for system number 09-25-0010 has been changed to reflect a transfer of responsibility from the Office of Research Services (ORS) to the National Cancer Institute (NCI). The scope of this system has been narrowed to cover records related to exposure to microbial agents investigated to

determine if they are cancer-causing. Other records which have been maintained by the Office of Research Services have been destroyed.

E. Procedural safeguards for several systems have been clarified to specify authorized users, physical safeguards and procedural safeguards.

F. We have made editorial changes to correct typographical, spelling and grammatical errors which appeared in the prior annual publication.

Dated: August 18, 1982.

James B. Wyngaarden,
Director.

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- 09-25-0002, Clinical Research: Patient Phonocardiogram Records, HHS/NIH/NHLBI.
- 09-25-0003, Administration: Authorized Radionuclide Users File, HHS/NIH/ORS.
- 09-25-0004, Administration: Registry of Individuals Exposed to Chemical Carcinogens, HHS/NIH/ORS.
- 09-25-0005, Administration: Library Circulation and User I.D. File, HHS/NIH/OD.
- 09-25-0007, Administration: NIH Safety Shoes and Safety Glasses Issuance Program, HHS/NIH/ORS.
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- 09-25-0010, Research Resources: Registry of Individuals Potentially Exposed to Microbial Agents, HHS/NIH/NCI.
- 09-25-0011, Clinical Research: Blood Donor Records, HHS/NIH/CC.
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- 09-25-0013, Clinical Research: Preadmission Medical Records, HHS/NIH/CC.
- 09-25-0014, Clinical Research: Student Records, HHS/NIH/CC.
- 09-25-0015, Clinical Research: Collaborative Clinical Epilepsy Research, HHS/NIH/NINCDS.
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- 09-25-0019, Clinical Research: Genetic Counseling, HHS/NIH/NINCDS.
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- 09-25-0021, Clinical Research: Guam Patient/Control Registry, HHS/NIH/NINCDS.
- 09-25-0026, Clinical Research: Nervous System Studies, HHS/NIH/NINCDS.
- 09-25-0028, Clinical Research: Patient Medical Histories, HHS/NIH/NINCDS.
- 09-25-0031, Clinical Research: Serological and Virus Data in Studies Related to the Central Nervous System, HHS/NIH/NINCDS.
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- 09-25-0037, Clinical Research: Gerontology Research Center Longitudinal Aging Study, HHS/NIH/NIA.
- 09-25-0038, Clinical Research: Patient Data, HHS/NIH/NIADDK.
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- 09-25-0041, Research Resources: Scientists Requesting Hormone Distribution, HHS/NIH/NIADDK.
- 09-25-0042, Clinical Research: National Institute of Dental Research Patient Records, HHS/NIH/NIDR.
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- 09-25-0069, NIH Clinical Center Admissions of the National Cancer Institute, HHS/NIH/NCI.
- 09-25-0074, Clinical Research: Veterans Administration Bladder and Prostate Cancer Clinical Trials, HHS/NIH/NCI.
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- 09-25-0077, Clinical Research: Biological Carcinogenesis Branch Human Specimen Program, HHS/NIH/NCI.
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- 09-25-0084, Administration: Curricula Vitae of Scientists, Consultants, and Board and Commission Members, HHS/NIH/NIADDK.
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- 09-25-0117, International Activities: U.S.-Japan Program Panel Members, HHS/NIH/NIAID.
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- 09-25-0123, Clinical Research: Clinical Trials Dealing with Fertility-Regulating Methods, HHS/NIH/NICHD.
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- 09-25-0127, Clinical Research: Clinical Trials Dealing with Phototherapy for Neonatal Hyperbilirubinemia, HHS/NIH/NICHD.
- 09-25-0128, Clinical Research: Neural Prosthesis & Biomedical Engineering Studies, HHS/NIH/NINCDS.
- 09-25-0129, Clinical Research: Clinical Research Studies Dealing with Hearing, Speech, Language and Chemosensory Disorders, HHS/NIH/NINCDS.
- 09-25-0130, Clinical Research Studies in the Division of Cancer Cause and Prevention, HHS/NIH/NCI.

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- 09-25-0143, Biomedical Research: Records of Subjects in Clinical, Epidemiologic and Biometric Studies of the National Institute of Allergy and Infectious Diseases, HHS/NIH/NIAD.
- 09-25-0147, Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Heart, Lung, and Blood Institute, HHS/NIH/NHLBI.
- 09-25-0148, Contracted and Contract-Related Research: Records of Subjects in Clinical, Epidemiological and Biomedical Studies of the National Institute of Neurological and Communicative Disorders and Stroke, HHS/NIH/NINCDS.
- 09-25-0149, Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Institute of General Medical Sciences, HHS/NIH/NIGMS.
- 09-25-0150, Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Institute of Environmental Health Sciences, HHS/NIH/NIHES.
- 09-25-0149, Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Institute of General Medical Sciences, HHS/NIH/NIGMS.
- 09-25-0150, Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Institute of Environmental Health Sciences, HHS/NIH/NIHES.
- 09-25-0151, Administration: Alert Records Concerning Investigations or Determinations of Misconduct by Current or Potential Recipients of Funds for Biomedical Research, HHS/NIH/OD.

09-25-0001

SYSTEM NAME:

Clinical Research: Patient Records, HHS/NIH/NHLBI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients of the National Heart, Lung, and Blood Institute (NHLBI) under study at the National Institutes of Health (NIH).

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical histories, diagnostic studies, laboratory data, treatment.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241e, 287, 287a.

PURPOSE(S):

1. For use by physicians in evaluation and treatment of patients under study at NIH.
2. To furnish patient data to patients, their families, and with patients' consent, to their private physicians.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases may be reported to state government as required by law.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to

enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders, card index, laboratory books, computer memory.

RETRIEVABILITY:

Indexed by name or patient number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to authorized physicians and their assistants.

Physical Safeguards: Records are kept in secure locked metal or wood file cabinets and, in some instances, in locked offices.

Procedural Safeguards: Access to files is strictly controlled by files staff. Access to computerized records is controlled by keyword codes available only to authorized users.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Administrative Officer
Division of Intramural Research,
NHLBI
Building 10, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Privacy Act Coordinator, NHLBI
Building 31, Room 5A50, NIH
9000 Rockville Pike
Bethesda, MD 20205

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Referring physicians, hospitals and medical centers, patients and families, results of procedures and tests of NIH patients.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0002

SYSTEM NAME:

Clinical Research: Patient Phonocardiogram Records, HHS/NIH/NHLBI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10, Room 6N258, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Heart surgery patients in the NIH Clinical Center with prosthetic valve dysfunction.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

421 U.S.C. 241.

PURPOSE(S):

For research to develop non-invasive diagnostic techniques for detecting prosthetic valve dysfunction.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United

States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored on magnetic tapes, in log books, and in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

1. Phonocardiograms are kept in the patient medical records file.
2. Records are available only to physicians and to authorized medical records personnel.

RETENTION AND DISPOSAL:

Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the NIH Records Control Schedule. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Senior Surgeon, Surgery Branch, NHLBI
Building 10, Room 6N256
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Privacy Act Coordinator, NHLBI
Building 31, Room 5A50, NIH
9000 Rockville Pike
Bethesda, MD 20205

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject

individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Attending physicians and collaborating researchers and patients.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0003

SYSTEM NAME:

Administration: Authorized Radionuclide Users File, HHS/NIH/ORS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 21, Room 116, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Research Investigators within NIH and outside holding NIH-NRC Board License for radioactive material.

CATEGORIES OF RECORDS IN THE SYSTEM:

Radioactive material users.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241.

PURPOSE(S):

To provide adequate administrative controls to assure compliance with NIH Radiation Safety policy.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Training and experience information transferred to place of new employment. Personnel exposure data transferred to place of new employment.

Disclosure may be made to a congressional office from the record of

an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file cabinet.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to staff Health Physicists, staff Physical Science Technicians, and administrative personnel of the branch.

Physical Safeguards: Records are generally stored in locked file cabinets or in cabinets that are in rooms that can be locked during off-duty hours.

Procedural Safeguards: Access to files is strictly limited to Radiation Safety Branch personnel staff. Records may be removed from files only at the request of authorized personnel. For computerized records, access is controlled by the use of security codes known only to authorized users.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, items 1300-B-13 through 16. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Health Physics Section,
Radiation Safety Branch
Building 21, Room 233
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individual, previous employers and educational institutions.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0004

SYSTEM NAME:

Administration: Registry of Individuals Exposed to Chemical Carcinogens, HHS/NIH/ORS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 12, Computer Center
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Researchers, laboratory workers, and NIH employees potentially exposed to chemical carcinogens.

CATEGORIES OF RECORDS IN THE SYSTEM:

Certain chemical carcinogens, work station locations, kinds of facilities.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 7902, 29 U.S.C. 654.

PURPOSE(S):

1. To serve as a basis for chemical carcinogen health and safety program.

2. To identify potential hazards.

3. To determine needs for educational programs.

4. To comply with OSHA Safety and Health Standards (29 CFR 1910).

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored on computer tapes.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, nurses, and other occupational health professionals. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are stored on computer tapes and in locked desks in offices which are locked during off-duty hours.

Procedural Safeguards: Access to the file is strictly controlled by the systems manager and records may be removed from files only at the request of the system manager or other authorized employee. Access to computerized records is controlled by the use of security codes known only to the authorized users.

RETENTION AND DISPOSAL:

Records are kept for 20 years. Disposal methods include burning or shredding paper materials and erasing computer tapes.

SYSTEM MANAGER(S) AND ADDRESS:

Industrial Hygienist, Occupational Safety and Health Branch
Building 13, Room 3K04
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Employee and supervisor.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0005

SYSTEM NAME:

Administration: Library Circulation and User I.D. File, HHS/NIH/OD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10, Room 1L25B
and
Building 12A, Room 3018
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

NIH employees.

CATEGORIES OF RECORDS IN THE SYSTEM:

Library records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241.

PURPOSE(S):

Library material control.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored on computer tape and disc, and on file cards.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to Library staff members who need to verify that Library identification cards have been issued to those Library users requesting services such as MEDLINE and other computer online bibliographic searches, translations and interlibrary loans. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: The office housing the cabinets and file drawers for storage of records are locked during all library off-duty hours. During all duty hours offices are attended by employees who maintain the files.

Procedural Safeguards: Access to the files is strictly controlled by employees who maintain the files. Records may be removed from files only at the request of

the system manager or other authorized employees. Access to computerized records is controlled by the use of security codes known only to authorized users.

RETENTION AND DISPOSAL:

Years at NIH: 3. Disposal methods include burning or shredding paper materials and erasing computer tapes.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Reader Service Section
Library Branch, Division of Research Services
Building 10, Room 1L21, NIH
9000 Rockville Pike
Bethesda, MD 20205
and
Librarian, Division of Computer Research and Technology
Building 12A, Room 3018, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individual, NIH Library ID card data.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0007

SYSTEM NAME:

Administration: NIH Safety Shoes and Safety Glasses Issuance Program, HHS/NIH/ORS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 13, Room 3K04, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

NIH employees who apply for safety shoes or safety glasses

CATEGORIES OF RECORDS IN THE SYSTEM:

Explanation of eye impact and foot hazard occupation.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 7902.

PURPOSE(S):

Records are used for proper distribution of safety glasses and safety shoes and for proof of delivery.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Access limited to personnel involved in the Safety Glasses and Shoes Program, to supervisors of employees who have requested safety glasses or

shoes, and to personnel involved in accounting. Record storage locations are locked when not in use. Access to records is controlled by the system manager or his/her designee.

RETENTION AND DISPOSAL:

Years at NIH: Retained until employee terminates hazardous occupation

SYSTEM MANAGER(S) AND ADDRESS:

Physical Science Technician
Building 21, Room 108, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Previous employer and education institutions.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0008

SYSTEM NAME:

Administration: Radiation Workers Monitoring, HHS/NIH/ORS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 21, Room 134, NIH
9000 Rockville Pike
Bethesda, MD 20205
and
Building 12, Computer Center
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

NIH workers using radioactive materials or radiation producing equipment.

CATEGORIES OF RECORDS IN THE SYSTEM:

Radiation exposure incident reports, film badge exposure reports, urine and whole body counting reports.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 7902.

PURPOSE(S):

1. To assure legal compliance with requirement of Nuclear Regulatory Commission to maintain internal and external radiation exposure data and any radiation incident follow-up reports.
2. To monitor personnel exposures in order that they be maintained at the lowest levels reasonably achievable.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Radiation exposure history may be transferred to new employer or to Nuclear Regulatory Commission on their request.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in card file and on computer tapes.

RETRIEVABILITY:

Records are retrieved by name and group number.

SAFEGUARDS:

Authorized Users: Access to information stored is limited to the system manager and Radiation Safety Branch (RSB) staff.

Physical Safeguards: Information is filed in cabinets in Building 21 or in computer disc files or magnetic drum mass storage. Building 21 is locked during non-working hours. In addition there is a security fence with locked gate surrounding Building 21. File cabinets are in rooms with RSB employees who monitor access to the information therein.

Procedural Safeguards: Access to computer files is limited only to personnel who know the account initial set assigned by the Division of Computer Research and Technology (DCRT), file names, storage locations, and key words protecting these files. Access to file cabinets is controlled by office personnel who personally recognize RSB staff members.

RETENTION AND DISPOSAL:

Years at NIH: indefinite.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Health Physics Section
Radiation Safety Branch
Building 21, Room 108, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Previous employer and education institutions, laboratory supervisor.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0009

SYSTEM NAME:

Clinical Research: Radiotherapy Patient File, HHS/NIH/ORS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 21, Room 108, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

NIH patients who have received radiotherapy doses.

CATEGORIES OF RECORDS IN THE SYSTEM:

Radiotherapy patient records including quantity of material given; type of material, workers involved in patient handling and any radiation exposure received by workers.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 7902; 42 U.S.C. 241.

PURPOSE(S):

To provide a legal record (for Nuclear Regulatory Commission and Food and Drug Administration review) of patients receiving therapeutic levels of radioactive materials.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Nuclear Regulatory Commission upon its request.

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the

Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file cabinet.

RETRIEVABILITY:

Records are retrieved by patient name.

SAFEGUARDS:

Access limited to authorized personnel (system manager and staff).

RETENTION AND DISPOSAL:

Records are kept for six years after the final administration of radiotherapy to a patient. During the six years, records may be stored at a Federal Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Health Physics Section
Radiation Safety Branch
Building 21, Room 135, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under notification procedures above, and reasonably identify the

record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Clinical Center, NIH; Radiopharmacy, NIH; individual patient.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0010

SYSTEM NAME:

Research Resources: Registry of Individuals Potentially Exposed to Microbial Agents, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Landow Building, Room 9A22
7910 Woodmont Ave.
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals potentially exposed to biohazardous microbial agents.

CATEGORIES OF RECORDS IN THE SYSTEM:

Microbial agents registry.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241.

PURPOSE(S):

1. To serve as a base for health and safety for individuals and organizations involved in use of potentially hazardous agents.

2. To identify potential hazards.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to

represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders and on magnetic tape.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees authorized to use the records include professional staff in the Biological Carcinogenesis Branch who have been informed of the need for maintaining confidentiality of the records.

Physical Safeguards: Office records are kept in closed cabinets in offices which are locked during off-duty hours.

Procedural Safeguards: Access to the file is strictly controlled by the system manager and his designee, and records may be removed from files only at the request of the system manager or other authorized employee. Access to computerized records is controlled by the use of security codes known only to the authorized users.

RETENTION AND DISPOSAL:

Indefinite.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Biological Carcinogenesis Branch, NCI
Landow Building, Room 9A22
7910 Woodmont Ave.
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under notification procedures

above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information is obtained from individuals and/or organizations providing specimens.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0011

SYSTEM NAME:

Clinical Research: Blood Donor Records, HHS/NIH/CC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10A, Room 1E33, NIH
9000 Rockville Pike
Bethesda, MD 20205
Washington National Records Center
4205 Suitland Road
Suitland, MD 20409

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Donors of blood and blood components to be used in the NIH Clinical Center for patient infusions.

CATEGORIES OF RECORDS IN THE SYSTEM:

Past donations, blood types, phenotype. Laboratory results on each unit-record are hepatitis B antigen testing, serologic reactions on all blood samples, donations of blood or blood components.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 263.

PURPOSE(S):

1. To provide a means for contacting blood donors for patient care and research.

2. To provide a medical history of all donors for the transfusion records of each blood unit.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases may be reported to state government as required by law.

Disclosure may be made to a congressional office from the record of

an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in a computer file, on donor cards, and on microfilm.

RETRIEVABILITY:

Records are retrieved by name and Social Security Number for verification where the latter is voluntarily provided.

SAFEGUARDS:

Authorized Users: Access is granted only to the blood bank physicians, the Blood Bank's chief nurse and chief technologist, secretary to the Chief, Blood Bank, and the computer operator.

Physical Safeguards: Record facilities are locked when system personnel are not present.

Procedural Safeguards: Access to manual files is limited to authorized users. Access to computerized records is controlled by the use of security codes known only to the authorized users.

RETENTION AND DISPOSAL:

Donor cards are retained for 18 months and then microfilmed. Microfilm is retained indefinitely in accordance with the NIH Records Control Schedule, item 3000-E-50.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Blood Bank, CC
Building 10A, Room 1E33, NIH
9000 Rockville Pike

Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

To obtain access to a record, contact the system manager at the address specified above. Requesters should provide the same information as is required under the notification procedures above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Data are collected from the individual.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0012

SYSTEM NAME:

Clinical Research: Candidate Normal Volunteer Records, HHS/NIH/CC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10, Room 2N-230, NIH
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Normally healthy individuals who volunteer to participate in NIH studies.

CATEGORIES OF RECORDS IN THE SYSTEM:

Program application, health questionnaire and record of participation.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 263.

PURPOSE(S):

1. To determine suitability for participation in the normal volunteer program.
2. To document remuneration of normal volunteers.
3. To provide a record of participation to be used (a) in writing letters of recommendation/reference for the volunteer, and (b) preparing reports on the normal volunteer program.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases may be reported to state government as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Program applications and health questionnaires are stored in file folders. Records of participation are stored on index cards.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Access is granted only to the Normal Volunteer Program staff in the Office of Medical Staff Affairs and to NIH physicians who have requested the recruitment of volunteers for their clinical research projects.

Physical Safeguards: Record facilities are locked when system personnel are not present.

Procedural Safeguards: Access to the files is strictly controlled by the files staff. Records may be removed from the file only at the request of the system manager or other authorized employees.

RETENTION AND DISPOSAL:

Program applications and health questionnaires are kept for 36 months (3 years) after an individual leaves NIH. Applications which are eligible but not accepted may be kept for 1 year.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Normal Volunteer Program
Office of Medical Staff Affairs
Building 10, Room 2N-230, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

To obtain access to a record, contact:
Director, Clinical Center
Building 10, Room 2C-124, NIH
9000 Rockville Pike
Bethesda, MD 20205

and provide the information described under Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Volunteer, sponsoring contractor.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0013

SYSTEM NAME:

Clinical Research: Preadmission
Medical Records, HHS/NIH/CC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 31, Room 2B58, NIH
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Potential patients.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical history and letters from individuals and referring physicians.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 248.

PURPOSE(S):

To determine appropriateness of individual for participation in clinical research projects.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: The patient referral staff maintains the records in this system and grants regular access only to physicians and dentists participating in patient care at the Clinical Center, NIH.

Physical Safeguards: All record facilities are locked when system personnel are not present.

Procedural Safeguards: Access to the file is strictly controlled by the files staff. Records may be removed from the file only at the request of the system manager or other authorized employees.

RETENTION AND DISPOSAL:

Years at NIH: 3. Disposal methods include burning or shredding paper materials and erasing computer tapes.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Office of Clinical Reports & Inquiries
Building 31, Room 2B58 NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

To obtain access to a record, contact:
Director, Clinical Center
Building 10, Room 2C-124, NIH
9000 Rockville Pike
Bethesda, MD 20205

and provide the information described under Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Referring physicians, subject individuals, families or members of Congress.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0014

SYSTEM NAME:

Clinical Research: Student Records,
HHS/NIH/CC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10, Room 2N-222(A), NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Potential and accepted Medical Staff and Research Fellows, medical students, and other students in NIH training programs.

CATEGORIES OF RECORDS IN THE SYSTEM:

Application form, transcripts, references, evaluations.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241.

PURPOSE(S):

1. To identify candidates for Medical Staff and Research Fellow, clinical elective, and other training positions.
2. To maintain a permanent record of those individuals who have received clinical research training at the NIH for historical and reference uses.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information may be used to respond to congressional inquiries for constituents concerning admission to the program.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name and year.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to health care personnel of the NIH who are involved in the evaluation and selection of training candidates.

Physical Safeguards: Records are maintained in locked cabinets with access limited to authorized personnel (systems manager and staff).

Procedural Safeguards: Access to the file is strictly controlled by the files staff. Records may be removed from the file only at the request of the system manager or other authorized employees.

RETENTION AND DISPOSAL:

Years at NIH: Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the NIH Records Control Schedule. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Office of Medical Staff Affairs
Building 10, Room 2N224, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

To obtain access to a record, contact the system manager at the above address and provide the information described under Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the system manager at the address specified above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Applicants, universities and teachers.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0015

SYSTEM NAME:

Clinical Research: Collaborative
Clinical Epilepsy Research, HHS/NIH/
NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 12, NIH

9000 Rockville Pike.
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients participating in clinical epilepsy research sponsored by the National Institute of Neurological and Communicative Disorders and Stroke (NINCDS).

CATEGORIES OF RECORDS IN THE SYSTEM:

Clinical data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

Clinical research on epilepsy, specifically neurophysiological studies of patients and new drug studies designed to improve treatment of epilepsy.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders, and on magnetic tape and discs.

RETRIEVABILITY:

Records are retrieved by identifying number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access to HHS researchers or the staff of the Epilepsy Branch. No other use is permitted without specific permission of the System Manager.

Physical Safeguards: Records are kept in a location which is locked during non-duty hours.

Procedural Safeguards: Records are used in the system location only and are returned to file cabinets at the end of each working day. Location is attended at all times during working hours. Personnel having access to system have received Privacy Act training.

RETENTION AND DISPOSAL:

Years at NIH: 10. Years at Federal Records Center: 15.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Epilepsy Branch, NINCDS
Federal Building, Room 114
7550 Wisconsin Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to:

Head, Administrative Management
Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record

shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Clinical treatment records from physicians, nurses and other sources of care.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0016

SYSTEM NAME:

Clinical Research: Collaborative
Perinatal Project HHS/NIH/NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Federal Building, NIH
7550 Wisconsin Ave.
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Women in the perinatal study of NIH during their pregnancies, their children, husbands, fathers of children and other family members.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical histories and examinations.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

Biomedical and behavioral research by HHS scientists to discover leads to the developmental disorders of childhood by relating events of pregnancy, labor and delivery, infancy and early childhood to subsequent development of the child.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Certain infectious diseases are reported to state government as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the

Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders, on punch cards and magnetic tape, computer printouts, and on microfilm.

RETRIEVABILITY:

Records are retrieved by identifying number assigned to the mother.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access to HHS researchers and data processing support staff only upon receiving an approved written request from the System Manager which specifies the data to be received and the intended use of the data. A list of authorized users is maintained.

Physical Safeguards: Records are in an area with no other use which is locked when system is not in use.

Procedural Safeguards: Personnel having access are trained in Privacy requirements. Records of access to the system are maintained. Records are used in the system area or other designated work area.

RETENTION AND DISPOSAL:

Years at NIH: indefinite. Some records are sent to the Federal Records Center and held for 3 years.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Developmental Neurology
Branch
National Institute of Neurological and
Communicative
Disorders and Stroke (NINCDS)
Federal Building, NIH
7550 Wisconsin Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to:

Head, Administrative Management
Section, NINCDS

Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Mother, child, father, biomedical examiners, hospital & clinic records, schools.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0019

SYSTEM NAME:

Clinical Research: Genetic
Counseling, HHS/NIH/NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Federal Building, NIH
7550 Wisconsin Ave.
Bethesda, MD 20205

Write to the system manager at the address below for the address of any

Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals referred to NIH by their physicians for advice about genetic problems in their families.

CATEGORIES OF RECORDS IN THE SYSTEM:

Family histories, medical histories, laboratory findings, physicians reports.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

Research by HHS scientists and approved collaborators to assess the effectiveness and value of genetic counseling for individuals referred by physicians for advice about genetic problems in their families.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to state government as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS researchers or their authorized collaborators.

Physical Safeguards: Records are locked in a cabinet during non-working hours in a location also locked during non-working hours.

Procedural Safeguards: Persons having access to this system are trained in Privacy Act requirements. Location is attended at all times during working hours.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Research Geneticist, Developmental Neurology Branch
Federal Building, Room 7C10A
7550 Wisconsin Ave
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the reasons for the correction, and the corrective action sought.

RECORD SOURCE CATEGORIES:

Referring physicians.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0020

SYSTEM NAME:

Clinical Research: Genetics of Neurological Disorders, HHS/NIH/NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Federal Building, NIH
7550 Wisconsin Ave.
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals with hereditary nervous system disorders and their unaffected relatives in the NIH study.

CATEGORIES OF RECORDS IN THE SYSTEM:

Family histories, medical histories, laboratory findings.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

Research by HHS scientists on the genetics of diseases and disorders of the nervous system including inheritance, rates of gene mutation, population characteristics, detection of the heterozygous state, and defects in metabolism.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data may be made available to approved or collaborating researchers, including HHS contractors and grantees.

Information may be used to respond to congressional inquiries for

constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders and on index cards.

RETRIEVABILITY:

Records are retrieved by name and ID number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS researchers or their authorized collaborators.

Physical Safeguards: Records are locked in a cabinet during non-working hours in a location also locked during non-working hours.

Procedural Safeguards: Persons having access to this system are trained in Privacy Act requirements. Location is attended at all times during working hours.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Research Geneticist
Developmental Neurology Branch

Federal Building, Room 8C16A
7550 Wisconsin Ave
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Head, Administrative Management
Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the reasons for the correction, and the corrective action sought.

RECORD SOURCE CATEGORIES:

Patients, relatives, physicians, hospital records.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0021

SYSTEM NAME:

Clinical Research: Guam Patient/
Control Registry, HHS/NIH/NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 36, Room 5D03, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Research patients of NIH on Guam.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical and demographic data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

Biomedical research on patients by HHS scientists who study selected diseases and conditions found on the island of Guam in the Pacific.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to Territorial authorities as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders, on punch cards, magnetic tape, index cards, and print-out sheets.

RETRIEVABILITY:

Records are retrieved by name and ID number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS researchers or their authorized collaborators.

Physical Safeguards: Location is locked during non-working hours and records are returned to location at end of working day.

Procedural Safeguards: Persons having access to records are informed of the Privacy Act requirements and location is attended at all times during the working day.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Intramural Research
National Institute of Neurological and
Communicative Disorders and Stroke
(NINCDS)
Building 36, Room 5A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Head, Administrative Management
Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a

responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the reasons for the correction, and the corrective action sought.

RECORD SOURCE CATEGORIES:

Individuals and their families.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0026

SYSTEM NAME:

Clinical Research: Nervous System Studies, HHS/NIH/NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 36, Room 5B20, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Research patients in NIH-related studies having nervous system disorders.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical and demographic data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

Clinical research by HHS scientists on patients with special diseases of the nervous system, with particular emphasis on those diseases known or thought to be caused by slow or latent viruses.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to state government as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders, on magnetic tape, and on computer print-out sheets.

RETRIEVABILITY:

Records are retrieved by name, disease and attending physician name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to scientists on the staff of the Central Nervous System Studies Laboratory and their assistants.

Physical Safeguards: Records are kept in a locked location.

Procedural Safeguards: Personnel having access to system are informed of Privacy Act requirements.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Central Nervous System Studies Lab.
Building 31, Room 5B20, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Head, Administrative Management Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested.

RECORD SOURCE CATEGORIES:

Attending physicians.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0028

SYSTEM NAME:

Clinical Research: Patient Medical Histories, HHS/NIH/NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10 & Building 31, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any

Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Past and present patients of the National Institute of Neurological and Communicative Disorders and Stroke (NINCDS), and individuals being referred for admission to the NIH Clinical Center.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical histories and diagnoses.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

Clinical research on various diseases of the nervous system by HHS scientists and their authorized collaborators, with the specific aim of improving patient care and treatment by evaluating therapeutic procedures.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data are made available to approved or collaborating researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to state government as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS researchers and their authorized collaborators.

Physical Safeguards: Records are kept locked in a file cabinet when not in use and in a location which is locked during non-working hours.

Procedural Safeguards: Records are returned to the files at the close of each working day and are used only in the system location or in a designated work area.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with the NIH Records Control Schedule, item 3000-G-3. A copy of the schedule may be obtained by writing to the system manager at the address below. Inactive records may be retired to a Federal Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Intramural Research,
NINCDS
Building 36, Room 5A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Head, Administrative Management
Section, NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing, a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Referring and attending physicians, hospital records.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0031

SYSTEM NAME:

Clinical Research: Serological and Virus Data in Studies Related to the Central Nervous System, HHS/NIH/NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 36, Room 5D04, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of any Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients with possible perinatal, acute or chronic diseases and normal volunteers in NIH-related studies pertaining to the central nervous system.

CATEGORIES OF RECORDS IN THE SYSTEM:

Laboratory findings for viruses.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

Clinical research by HHS scientists and their authorized collaborators and research on blood serum, specifically to discover the role of infections (particularly those caused by a virus) in diseases of the central nervous system and also to study the role of vaccines in these diseases.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Clinical research data are made available to approved or collaborating

researchers, including HHS contractors and grantees.

Certain infectious diseases are reported to State Government as required by law.

Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored on papers and in file folders.

RETRIEVABILITY:

Records are retrieved by name and number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS scientists and their assistants and authorized collaborators.

Physical Safeguards: Records are kept in cabinets which are locked at all times that system is not in use, in a location which is also locked when system is not in use.

Procedural Safeguards: Personnel having access to system have been trained in Privacy Act requirements. Records are used in a designated work area and the system location is attended at all times during working hours.

RETENTION AND DISPOSAL:

Years at NIH: 15. Years at Federal Records Center: 20.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Infectious Diseases Branch,
Intramural Research Program
Building 36, Room 5D04, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Head, Admin. Management Section,
NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Hospital records, volunteers and laboratory data.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0033

SYSTEM NAME:

International Activities: Fellowships
Awarded by Foreign Organizations,
HHS/NIH/FIC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 38A, Room 615, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of any Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

U.S. citizens qualified in health-related sciences submitting applications through NIH for fellowships for study abroad.

CATEGORIES OF RECORDS IN THE SYSTEM:

Applications and associated records and reports.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 2421.

PURPOSE(S):

(1) To assist U.S. citizens in obtaining fellowships from foreign organizations, Fogarty International Center (FIC) program staff collects applications and submits them to the Division of Research Grants for technical review. Afterwards, the applications are sent to the awarding organization in Switzerland, Sweden or France. These foreign countries make the selection for award.

(2) For program review and evaluation.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

After review by the operating agency review panel the applications and all supporting documents are forwarded to the foreign organizations or agencies making awards.

In addition, such application may be made available to authorized employees and agents of the Federal Government for purposes of investigations, inspections and audits, and, in appropriate cases, to the Department of Justice for prosecution under civil and criminal laws.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the

Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name and fellowship number.

SAFEGUARDS:

Access limited to authorized personnel (system manager and staff).

RETENTION AND DISPOSAL:

Years at NIH: 1. Number of years held at Federal Records Center before disposal: 5.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, International Research Awards Branch, FIC
Building 38A, Room 615, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Requests for notification of or access to records should be addressed to the system manager, as listed above. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Applicants and persons supplying references.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0034

SYSTEM NAME:

International Activities: Scholars Program, HHS/NIH/FIC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 16A, Room 102, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of any Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Distinguished U.S. science leaders and scholars invited to accept NIH scholarships.

CATEGORIES OF RECORDS IN THE SYSTEM:

Employment and education histories; references.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 2421.

PURPOSE(S):

This program was established to facilitate the exchange of ideas among distinguished science leaders and scholars who spend from 3 to 12 months in residence at NIH. Biographical information and references are assembled by Fogarty International Center (FIC) program staff for use by the operating agency review committee, and invitations are extended by the Director, FIC.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information may be made available to authorized employees and agents of the Federal Government for purposes of investigations, inspections and audits, and in appropriate cases, to the Department of Justice for prosecution under civil and criminal laws.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the

Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders and on magnetic tapes.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to FIC program staff. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: The records are maintained in locked file cabinets, and offices are locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employees.

RETENTION AND DISPOSAL:

Years at NIH: 1. Number of years held at Federal Records Center before disposal: 5.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Scholars Program, FIC
Building 16A, Room 102, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Requests for notification of or access to records should be addressed to the system manager, as listed above. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Information obtained from invitees, reference sources, and persons supplying recommendations.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0035

SYSTEM NAME:

International Activities: International Health Exchange Programs Participants, HHS/NIH/FIC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 38A, Room 612, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

U.S. citizens applying for participation in international health exchange programs through NIH.

CATEGORIES OF RECORDS IN THE SYSTEM:

Applications and associated records and reports.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 2421.

PURPOSE(S):

U.S. citizens with backgrounds relating to the health sciences submit applications for study in countries with which the U.S. has health exchange agreements. Fogarty International Center (FIC) prepares the applications for review by an operating agency review committee which makes the awards. FIC applies to foreign ministries for their approval. Information is transmitted to the PHS Office of International Health. Reports by returnees disseminated as appropriate.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

To qualified experts not within the definition of Department employees as prescribed in Department Regulations for opinions as a part of the application review process.

Information is furnished to pertinent staff of the relevant foreign ministry for acceptance purposes.

Applications are made available to authorized employees and agents of the Federal Government for the purpose of inspections and audits, and, in appropriate cases, to the Department of Justice for investigation under civil and criminal laws.

In the event of litigation where one of the parties is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to effectively represent such party, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to FIC program staff. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in locked file cabinets. Offices are locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Files may be removed only at the request of the system manager or other authorized employee.

RETENTION AND DISPOSAL:

Years at NIH: 1. At Federal Records Center: 5.

SYSTEM MANAGER(S) AND ADDRESS:

Coordinator, U.S.-Foreign Health Exchange Program

Building 38A, Room 612, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to system manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information is obtained from applicants and individuals who supply references.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0036

SYSTEM NAME:

Grants: IMPAC (Grant/Contract Information), HHS/NIH/DRG.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Westwood Building,
5333 Westbard Avenue
Bethesda, MD 20205
and
Building 12, NIH Computer Center
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Applicant and Principal Investigators; Program Directors; NRSA Trainees and Fellows; Research Career Awardees; and Public Advisory Committee Members.

CATEGORIES OF RECORDS IN THE SYSTEM:

Applications, awards, associated records and trainee appointments.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241c, 58 Stat. 691c & d repealed.

PURPOSE(S):

(1) To support grant programs of the Public Health Service. Services are provided in the areas of grant application assignment and referral, initial review, council review, award processing and grant accounting. The data base is used to provide complete, accurate, and up-to-date reports to all levels of management.

(2) To maintain communication with former fellows and trainees who have incurred a payback obligation through the National Research Service Award Program.

(3) To maintain current and historical information pertaining to the establishment of chartered public advisory committees of the National Institutes of Health and the appointment of their members.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made of assignments of research investigators and project monitors to specific research projects to the National Technical Information Service (NTIS), Department of Commerce, to contribute to the Smithsonian Science Information Exchange, Inc.

To the cognizant audit agency for auditing.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

To qualified experts not within the definition of Department employees as prescribed in Department Regulations for opinions as a part of the application review process.

To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision in the matter.

A record may be disclosed for a research purpose, when the Department:

(A) Has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B) Has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the

privacy of the individual that additional exposure of the record might bring;

(C) Has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) Has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

The Department contemplates that it may contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to maintain Privacy Act safeguards with respect to such records.

To the grantee institution in connection with performance or administration under the conditions of the award.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored on discs and magnetic tapes.

RETRIEVABILITY:

Records are retrieved by name, application, grant or contract ID number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to PHS extramural staff. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Physical access to the DRG Remote Job Entry work area is restricted. Offices are locked during off-duty hours.

Procedural Safeguards: Access to source data files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee. Access to computer files is controlled by the use of registered accounts, registered initials, keywords, etc. The computer system maintains an audit record of all attempted and successful requests for access.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 4000-A-2, which allows IMPAC records to be kept as long as there is an administrative need for the information.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Statistics and Analysis Branch
Division of Research Grants
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists write to:

Privacy Act Coordinator
Division of Research Grants
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individual, individual's educational institution and references.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0037

SYSTEM NAME:

Clinical Research: Gerontology Research Center Longitudinal Aging Study, HHS/NIH/NIA.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205
Chief, Clinical Physiology Branch, GRC
Baltimore City Hospitals
Baltimore, MD 21224

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Voluntary participants in the Gerontology Research Center (GRC) Longitudinal Aging Study.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical histories, psychological and physical test results.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289k-2, k-4.

PURPOSE(S):

Epidemiological research on the human aging process.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with

the provisions of Privacy Act with respect to these records.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example when the claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders and on computer files.

RETRIEVABILITY:

Records are retrieved by ID number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to the clinical, research and support staff of the GRC. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Hard copy files are kept in locked file cabinets.

Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be removed only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule,

item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Clinical Physiology Branch, GRC
Baltimore City Hospitals
Baltimore, MD 21224

NOTIFICATION PROCEDURE:

Write to system manager to determine if a record exists. The requestor must also verify his or her identity by providing either a notarization of the request or a written certification that the requestor is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual, who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individuals, research staff, test results.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0038

SYSTEM NAME:

Clinical Research: Patient Data, HHS/NIH/NIADDK.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10, Room 9N222, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the

Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients of the National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases (NIADDK).

CATEGORIES OF RECORDS IN THE SYSTEM:

Patient history, demographic data, miscellaneous correspondence with patients.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 281a, 289c.

PURPOSE(S):

- (1) Care and treatment of patients with arthritic, metabolic or digestive diseases;
- (2) Experimentation and investigation on the etiology, treatment and prevention of arthritic, metabolic or digestive diseases;
- (3) Administration of these clinical and research programs.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the provisions of Privacy Act with respect to these records.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an

effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders and on magnetic tape.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the NIADDK whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be removed only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Clinical Investigations, NIADDK
Building 10, Room 9N222, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists write to:

Administrative Officer
Building 31, Room 9A46, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an

individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Patients.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0039

SYSTEM NAME:

Clinical Research: Diabetes Mellitus Research Study of Southwestern American Indians, HHS/NIH/NIADDK.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205 and
Chief, Phoenix Clinical Research
Section
Phoenix Area Indian Hospital, Room
541
Phoenix, Arizona 85016

Write to system manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Southwestern American Indians and Caucasian spouses of some who were participants in the NIH Diabetes Mellitus Research Study.

CATEGORIES OF RECORDS IN THE SYSTEM:

Name, address, demographic data, patient history and control numbers.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

- (1) To gain information on high prevalence of diabetes, arthritis, gall bladder and related diseases among Southwestern American Indians;
- (2) For statistical analysis to investigate frequency and distribution of the above disorders;
- (3) Data is shared with the Indian Health Service which has primary care responsibility for American Indians.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the provisions of Privacy Act with respect to these records.

Certain infectious diseases are reported to state governments as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored on magnetic tapes.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to scientists and statistical staff of the Epidemiology Branch, National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases (NIADDK). Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Input data for computer files is coded immediately after collection to avoid individual identification. Records are kept in a limited access area equipped with a monitored burglar alarm system.

Procedural Safeguards: Access is strictly controlled through security codes known only to authorized users. Access codes are changed following departure of any authorized user.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Phoenix Clinical Research
Section
Phoenix Area Indian Hospital, Room
541
Phoenix, Arizona 85016

NOTIFICATION PROCEDURE:

To determine if a record exists write to:

Administrative Officer
Building 31, Room 9A-46, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Patients.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0040

SYSTEM NAME:

Clinical Research: Southwestern American Indian Patient Data, HHS/NIH/NIADDK.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Phoenix Area Indian Hospital, Room
541
Phoenix, Arizona 85016

Write to system manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients of the National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases (NIADDK) being treated at the Phoenix Area Indian Hospital. 6

Medical history, treatment schedules, diagnostic records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

(1) Used by clinicians and support staff of the Phoenix Clinical Research Section for treatment of NIADDK patients, and for research related to such treatment.

(2) Records are forwarded to the Indian Health Service which maintains records after patient discharge in case follow-up or later treatment is necessary.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Certain infectious diseases are reported to state governments as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name and patient number.

SAFEGUARDS:

Records are maintained in secured areas and containers, with personnel screening to prevent unauthorized access. Charge-out records are maintained on records charged out from the files.

RETENTION AND DISPOSAL:

Records are retained and destroyed according to the same standards that

apply to other medical records of the Indian Health Service.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Phoenix Clinical Research Section
Phoenix Area Indian Hospital, Room 541
4212 North 16th Street
Phoenix, Arizona 85016

NOTIFICATION PROCEDURE:

To determine if a record exists write to:

Administrative Officer, NIADDK
Building 31, Room 9A-46, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Clinicians of the Phoenix Clinical Research Section.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0041

SYSTEM NAME:

Research Resources: Scientists
Requesting Hormone Distribution, HHS/
NIH/NIADDK.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Westwood Building, Room 626, NIH
5333 Westbard Avenue
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Scientists requesting hormones from the National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases (NIADDK).

CATEGORIES OF RECORDS IN THE SYSTEM:

Justification for request for hormones, including requester's competence.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 263, 289a, 289c.

PURPOSE(S):

(1) For review of applications requesting hormones and antibodies for research purposes, prior to awarding these substances.

(2) To determine if the requester is qualified to receive these materials.

(3) To determine if requests for human hormones for clinical research follow acceptable protocols. In this connection, records may be disclosed to the Food and Drug Administration.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Contractors for distribution of various hormones to requestors.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective

defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to staff working for the contractor who need the records for hormone distribution, to NIH staff who supervise the Hormone Distribution Program, and, as approved by the system manager, to scientists and physicians who may have need of the information for research.

Physical Safeguards: Records are kept in cabinets in offices which are locked during off-duty hours and which have alarms.

Procedural Safeguards: Access to files is strictly controlled by files staff. Files may be obtained only at the request of the system manager or other authorized employee.

RETENTION AND DISPOSAL:

Years at NIH: 3.

SYSTEM MANAGER(S) AND ADDRESS:

Hormone Distribution Officer
Westwood Building, Room 626, NIH
5333 Westbard Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists write to:

Administrative Officer, NIADDK
Building 31, Room 9A-46, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the

information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Data is obtained from the individual.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0042

SYSTEM NAME:

Clinical Research: National Institute of Dental Research Patient Records, HHS/NIH/NIDR.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10, Room 1B20, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients and other participants in current and past research projects of the National Institute of Dental Research (NIDR).

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical and dental histories, dental pathologies and therapies.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 288a.

PURPOSE(S):

(1) To record the diagnosis and treatment of patients with diseases of the mouth, tongue, teeth and surrounding tissues;

(2) To record the normal condition of the mouth, tongue, teeth and surrounding tissues of individuals referred to the dental clinic;

(3) To provide clinical data for research into the etiology, treatment and prevention of oral diseases;

(4) For review and planning of the NIDR clinical program.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the clinical and research purposes for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name and hospital ID number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to dentists, physicians, dental hygienists, dental assistants and other health care personnel involved in the care and treatment of patients in the NIDR dental clinic, and to referring professionals. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are stored in a cabinet which is locked at all times when not in use.

Procedural Safeguards: Access is controlled by clerical staff of the Dental Clinic during clinic hours, and by the Officer of the Day when the clinic is closed.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Clinical Investigations and Patient Care Branch, NIDR
Building 10, Room 2B01, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists contact:

NIDR Privacy Act Coordinator
Westwood Building, Room 535
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individual, parents or guardians.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0043

SYSTEM NAME:

Clinical Research: Pharyngeal Development Patients, HHS/NIH/NIDR.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Swallowing Center
Room 115, Tower Building
Johns Hopkins Hospital
Baltimore, MD 21215

Write to system manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients referred to the National Institute of Dental Research (NIDR) who have abnormalities of the mouth and pharynx.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 288a.

PURPOSE(S):

- (1) To record the medical/dental histories of patients with diseases and/or impairments of the mouth and pharynx;
- (2) For research into the causes and treatment of patients with diseases and/or impairments of the mouth and pharynx;
- (3) For review and planning of the Oral and Pharyngeal Development Section program.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the clinical and research purposes for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any

employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name and diagnosis.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to Oral and Pharyngeal Development Section staff, to scientist colleagues by invitation of the principal investigator and to referring professionals. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are stored in 'red sealed' rooms which are locked at all times when not in use.

Procedural Safeguards: Access is controlled by Oral and Pharyngeal Development Section staff.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Oral and Pharyngeal Development Section, NIDR
Swallowing Center
Room 115, Tower Building
Johns Hopkins Hospital
Baltimore, MD 21215

NOTIFICATION PROCEDURE:

To determine if a record exists contact:

NIDR Privacy Act Coordinator
Westwood Building, Room 535
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individual patient or family members, referring clinician or health agency.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0044

SYSTEM NAME:

Clinical Research: Sensory Testing Research Program, HHS/NIH/NIDR.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 31, Room 3B08, NIH
9000 Rockville Pike

Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Infants, children and adults participating in the Sensory Testing Research Program of the National Institute of Dental Research (NIDR).

CATEGORIES OF RECORDS IN THE SYSTEM:

Test results, extracts from medical records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 288a.

PURPOSE(S):

- (1) To record the medical/dental histories of individuals participating in the Sensory Testing Research Program;
- (2) To record the results of taste tests of individuals participating in the Sensory Testing Research Program;
- (3) For research on the sensitivity of the tongue to touch and to taste stimulation;
- (4) For review and planning of the Oral and Pharyngeal Development Section program.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the clinical and research purposes for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public

Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders and data books.

RETRIEVABILITY:

Records are retrieved by name, date of observation and age of subject.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to Oral and Pharyngeal Development Section staff, to scientist colleagues by invitation of the principal investigator and to referring professionals. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are stored in 'red sealed' rooms which are locked at all times when not in use.

Procedural Safeguards: Access is controlled by Oral and Pharyngeal Development Section staff.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Research Physiologist, Oral and Pharyngeal Development Section,
NIDR
Building 31, Room 3B10, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists contact:

NIDR Privacy Act Coordinator
Westwood Building, Room 535
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he

or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Cooperating clinician or health agency, family members.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0046

SYSTEM NAME:

Clinical Research: Catalog of Clinical Specimens from Patients, Volunteers and Laboratory Personnel, HHS/NIH/NIAID.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 7, Rooms 301 and 202, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients, volunteers, laboratory personnel in the National Institute of Allergy and Infectious Diseases (NIAID).

CATEGORIES OF RECORDS IN THE SYSTEM:

Clinical specimens, attendant data and laboratory results.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

For diagnostic and epidemiologic studies of viral respiratory diseases and hepatitis, conducted by NIAID staff.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Certain infectious diseases are reported to state governments as required by law.

Information may be used to respond to congressional inquiries for constituents concerning admission to the NIH Clinical Center.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in data books.

RETRIEVABILITY:

Records are retrieved by name, patient or study number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to HHS scientists conducting research, and staff whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Data books are kept in locked rooms. Offices are locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Respiratory Viruses Section,

NIAID

Building 7, Room 301, NIH

9000 Rockville Pike

Bethesda, MD 20205

and

Chief, Hepatitis Virus Section, NIAID

Building 7, Room 202, NIH

9000 Rockville Pike

Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to

Privacy Act Coordinator, NIAID

Westwood Building, Room 704

5333 Westbard Avenue

Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedure above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information contained in these records is obtained directly from individual participants and from medical records, field study records, and clinical research observations.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0048

SYSTEM NAME:

Clinical Research: Serology-Epidemiology Parasite Research, HHS/NIH/NIAID.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Rocky Mountain Laboratory, NIH
Hamilton, MT 59840

Write to system manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Blood or parasite donors participating in serology-epidemiology parasite research of the National Institute of Allergy and Infectious Diseases (NIAID).

CATEGORIES OF RECORDS IN THE SYSTEM:

Results of blood tests and possible case histories.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

For serologic and epidemiologic studies on parasitic and rickettsial diseases (Rocky Mountain spotted fever, in particular) conducted by NIAID staff.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Certain infectious diseases are reported to state governments as required by law.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to HHS scientists conducting research, and staff whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Offices are locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Administrative Officer
Rocky Mountain Laboratory, NIH
Hamilton, MT 59840

NOTIFICATION PROCEDURE:

To determine if a record exists write to

Privacy Act Coordinator, NIAID
Westwood Building, Room 704
Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual, who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedure above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Personal physician of donor and state health departments.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0049

SYSTEM NAME:

Clinical Research: Atlanta Federal Prison Malaria Research Projects, HHS/NIH/NIAID.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 8, Room 326, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to system manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Prisoners in the Atlanta Federal Prison who have volunteered to participate in malaria research studies of the National Institute of Allergy and Infectious Diseases (NIAID).

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical history records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

For malaria research studies of the NIAID.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Certain infectious diseases are reported to state governments as required by law.

A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity

consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example, when a claim is based upon an individual's mental or physical condition and is alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to HHS scientists conducting research, and staff whose duties require the use of such information. Authorized users are located in the Malaria Section, Laboratory of Parasitic Diseases, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Offices are locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Head, Malaria Section, NIAID
Building 8, Room 326, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists write to

Privacy Act Coordinator, NIAID
Westwood Building, Room 704
Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedure above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individuals, referring physicians, collaborating scientists, hospitals.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0051

SYSTEM NAME:

Grants: NIH Fellowship Payroll, HHS/NIH/DFM.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 31, Room B1B07, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to the system manager at the address below for the address of any Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

NIH Research Fellows receiving fellowships at Federal and foreign institutions.

CATEGORIES OF RECORDS IN THE SYSTEM:

Recipient's name, address and social security number (SSN), payroll data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

58 Stat. 691c repealed, 42 U.S.C. 289-1.

PURPOSE(S):

To report income subject to tax and taxes withheld to the Internal Revenue Service.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Where federal agencies having the power to subpoena other federal agencies' records, such as the Internal Revenue Service or the Civil Rights Commission, issue a subpoena to the Department for records in this system of records, the Department will make such records available.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Offices are locked during off-duty hours.

RETENTION AND DISPOSAL:

Records are retained for one year at NIH and for 9 years at the Washington National Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Federal Assistance Accounting Branch
Building 31, Room B1B07, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the system manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individual fellow and notice of fellowship award received from awarding office.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0053

SYSTEM NAME:

Clinical Research: Vision Studies, HHS/NIH/NEI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10, Room 10N325, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients and subjects in the National Eye Institute research studies.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical history as relevant to vision research.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289i, 289k.

PURPOSE(S):

1. To gather photographic evidence of various stages or progressions of certain visual disorders;
2. To record certain diagnostic test results (such as color vision testing) in the compilation of empirical data to support research evaluations.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to maintain Privacy Act safeguards with respect to these records.

Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Certain infectious diseases may be reported to State Government as required by law.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or

necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file cabinets.

RETRIEVABILITY:

Records are retrieved by name and cross referenced by anatomical entity.

SAFEGUARDS:

Employees who maintain records in this system are instructed to grant regular access only to HHS scientists conducting research and physicians treating the patient whose records are involved. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager. File cabinets are in locked rooms and access to files is strictly controlled. Specifically, records may be removed from files only at the request of the system manager or authorized employees.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Clinical Director, NEI
Building 10, Room 10N313, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Executive Officer, NEI
Building 31, Room 6A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a

responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Medical examinations conducted by and under the direction of the research investigators.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0054

SYSTEM NAME:

Administration: Property Accounting, HHS/NIH/ORS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 13, Room 2W35, NIH
9000 Rockville Pike
Bethesda, MD 20205
NIH Computer Center, Building 12
9000 Rockville Pike
Bethesda, MD 20205
Building 31, Room B1C06, NIH

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

9000 Rockville Pike, Bethesda, MD 20205
Office of Facilities Engineering
MD 102-01, NIEHS
P.O. Box 12233
Research Triangle Park, N.C. 27709

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Employees of the National Institutes of Health who are issued tools or card keys.

CATEGORIES OF RECORDS IN THE SYSTEM:

Property management.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301; 5 U.S.C. 5901; 5 U.S.C. 7903; 40 U.S.C. 318a; 42 U.S.C. 241.

PURPOSE(S):

Used for tool and card keys issuance and control.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event that a system of records maintained by this 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 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, 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.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders, and on computer-sensible media.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Textual records are stored in offices which are locked when not in use. Computer files are password protected.

RETENTION AND DISPOSAL:

Records are kept until two years after an item is released by an individual.

SYSTEM MANAGER(S) AND ADDRESS:

For tools:
Administrative Officer, DES

Building 13, Room 2W35, NIH
9000 Rockville Pike
Bethesda, MD 20205

For card keys:

Security Specialist, DAS
Building 31, Room B1C06, NIH
9000 Rockville Pike
Bethesda, MD 20205
Chief, Office of Facilities Engineering
MD 102-01, NIEHS
P.O. Box 12233
Research Triangle Park, N.C. 27709

NOTIFICATION PROCEDURE:

Write to the System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and the corrective action sought.

RECORD SOURCE CATEGORIES:

Data is obtained from the individual.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0057

SYSTEM NAME:

Clinical Research: Burkitt's
Lymphoma Registry, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Landow Building, Room 1D-12
7910 Woodmont Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients with Burkitt's Lymphoma in the registry of the National Cancer Institute.

CATEGORIES OF RECORDS IN THE SYSTEM:

Clinical abstracts, pathology reports, and other laboratory correspondence with attending physicians.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 281, 282.

PURPOSE(S):

Epidemiologic research on Burkitt's Lymphoma.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours.

Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be accessed only at the request of the system manager or other authorized employee.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Head, Clinical Studies Section
Medical Officer, Division of Cancer
Cause and Prevention
Landow Building, Room 1D-12
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Hospitals, physicians.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0060

SYSTEM NAME:

Clinical Research: Division of Cancer Treatment Clinical Investigations, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10, Room 3B18, NIH
9000 Rockville Pike
Bethesda, MD 20205
and
Frederick Cancer Research Center
Building 426
Frederick, MD 21701

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

All patients who have been hospitalized in the National Cancer Institute.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 281, 282.

PURPOSE(S):

1. Patient care and treatment. 2. Clinical and epidemiological research.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored on magnetic tapes and on index cards.

RETRIEVABILITY:

Records are retrieved by patient name or number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute, or its contractors, whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be accessed only at the

request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Biometric Research Branch
Building 10, Room 3B16
9000 Rockville Pike
Bethesda, MD 20205
and
Chief, Clinical Investigations Section
Biological Response Modifiers Program
Frederick Cancer Research Center
Building 426
Frederick, MD 21701

NOTIFICATION PROCEDURE:

Write to System Manager for the appropriate location to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the

information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Hospital medical records, referring physician, referring hospitals, clinical laboratories, patient contact, and Central Tumor Registries.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0064

SYSTEM NAME:

Clinical Research: Japanese Hawaiian Cancer Studies, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Hawaiians of Japanese descent who were/are patients diagnosed with cancer of certain sites or with gastric ulcers, and normal controls.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical, diet, residence and occupational history; clinical lab test results.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 281, 282.

PURPOSE(S):

Research into the causes of cancer, including precursor conditions and factors affecting the etiology and epidemiology of the disease.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department

contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to comply with the Privacy Act with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored on magnetic tape and microfiche and in filefolders and on slides.

RETRIEVABILITY:

Records are retrieved by name or ID number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be accessed only at the request of the system manager or other authorized employee. Access to

computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Biometry Branch
Landow Building, Room 5C03, NIH
7910 Woodmont Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Information obtained from interview with cancer patients or their relatives, hospitalized controls, community and hospital records.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0067

SYSTEM NAME:

Clinical Research: National Cancer Incidence Surveys, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Persons diagnosed as having cancer during 1969-71 in geographical areas of the United States.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical history, insurance and hospital cost data, and death records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 281, 182.

PURPOSE(S):

Comparison of trends in cancer incidence between the second and third national cancer surveys, i.e. between 1969-71 and 1947.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to

represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored on microfiche and on magnetic tapes.

RETRIEVABILITY:

Records are retrieved by name and study number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be accessed only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Demographic Analysis Section
Landow Building, Room 5B06, NIH
7910 Woodmont Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The

requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Hospital medical records.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0068

SYSTEM NAME:

Clinical Research: National Cancer Institute/American Cancer Society National Breast Cancer Screening of Antihypertensives, HHS/NIH/NCI

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Landow Building, Room B506, NIH
7910 Woodmont Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Women screened for breast cancer by the National Cancer Institute/American Cancer Society-sponsored screening centers.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical history questionnaires from all individuals; treatment questionnaires from physicians of individuals on antihypertensives.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 281, 282.

PURPOSE(S):

Epidemiological research to study factors possibly related to breast cancer. This program involves collaboration with the Food and Drug Administration.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to comply with the Privacy Act with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders, on computer printouts and tapes.

RETRIEVABILITY:

Records are retrieved by patient name and number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be accessed only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

RETENTION AND DISPOSAL:

Years at NIH: 5. Years at Federal Records Center: 10.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Demographic Analysis Section
Landow Building, Room 5B06, NIH
7910 Woodmont Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Data is obtained from the individual, and if applicable, from the individual's physician with explicit permission.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0069

SYSTEM NAME:

NIH Clinical Center Admissions of the National Cancer Institute, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Landow Building, Rm. 4C18 and 5C37
7910 Woodmont Avenue
Bethesda, MD 20205
Building 10, Rm 3B-02, NIH,
9000 Rockville Pike
Bethesda, MD 20205
Building 31, Room 3A07, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current and former cancer patients admitted to the NIH Clinical Center of the National Cancer Institute (NCI).

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical histories, reports and correspondence.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 281, 282.

PURPOSE(S):

National Cancer Institute physicians and supporting staff are involved in research on the cause and diagnosis of disease and the treatment of patients, requiring the maintenance of working files to chart progress, responses to treatment, etc.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to comply with the Privacy Act with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders and on computer files.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff

of the National Cancer Institute and the Clinical Center whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in limited access areas. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be accessed only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Clinical Genetics Section
Division of Cancer Cause and Prevention
Landow Bldg., Rm. A521, NIH
7910 Woodmont Avenue
Bethesda, MD 20205
Chief, Biometric Research Branch
Division of Cancer Treatment
Building 10, Room 3B16
9000 Rockville Pike
Bethesda, MD 20205
Administrative Officer
Division of Cancer Biology and Diagnosis
Building 31, Room 3A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to system manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform

the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Patients' personal physicians, NIH staff treating the patients or performing tests, and patients themselves.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0074

SYSTEM NAME:

Clinical Research: Veterans Administration Bladder and Prostate Cancer Clinical Trials, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Veterans Administration patients with bladder or prostate cancer.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical & treatment history.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 281, 282.

PURPOSE(S):

Research by staff to compare treatments of bladder and prostate cancer, develop statistical methodology, and trace the natural history of the disease under study.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to comply with the Privacy Act with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in files and on computer tapes and discs.

RETRIEVABILITY:

Records are retrieved by coded identification number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to

physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be accessed only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users. Access codes are changed frequently.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Computer Systems Manager
Landow Building, Room 5C08, NIH
7910 Woodmont Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Hospitals.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0075

SYSTEM NAME:

Administration: Principal Investigators Submitting Proposals for Protection from Research Risks, HHS/NIH/OD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Westwood Building, Room 3A-12
5333 Westbard Avenue
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Persons submitting research proposals to the National Institutes of Health involving risks to subjects or matters pertaining to the protection of the rights and welfare of human research subjects.

CATEGORIES OF RECORDS IN THE SYSTEM:

Research protocol, identification of Principal Investigator, institution.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(c) (g).

PURPOSE(S):

Monitoring of research proposals that may involve undue risks to subjects or ethical considerations.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is

compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored on card file.

RETRIEVABILITY:

Records are retrieved by name of Principal Investigator.

SAFEGUARDS:

Authorized Users: Members of the professional staff of the Office for Protection from Research Risks (OPRR) may use information from the file in connection with follow-up procedures of research proposals identified as involving potential risk to the protection of the rights and welfare of human research subjects.

Physical Safeguards: Records are maintained in offices which are monitored during business hours and are locked during off-duty hours.

Procedural Safeguards: Requests for information from the file are made to the Compliance Coordinator who supervises and is responsible for the file. Computer files are password protected.

RETENTION AND DISPOSAL:

Records are kept for 6 years after the end of a research project or 6 years after final action in any case involving litigation.

SYSTEM MANAGER(S) AND ADDRESS:

Director, OPRR
Westwood Building, Room 3A-18, NIH
5333 Westbard Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Proposals submitted by individuals, but identified by employees or consultants of HHS as possibly involving undue hazards.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0077

SYSTEM NAME:

Clinical Research: Biological Carcinogenesis Branch Human Specimen Program, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Landow Bldg., Rm. 9A22
7910 Woodmont Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Cancer and other patients, and normal donors of biopsy and tumor specimens, seen at clinically-oriented organizations under contract to the National Cancer Institute. Both adults and children are covered.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical history and diagnostic information about the donor, information on the type of specimen, location of repository (if specimen is stored before use), and distribution record.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 281, 282.

PURPOSE(S):

1. For cancer research, using by-products of cancer treatment, such as biopsy and tumor specimens that would normally be discarded, to allow interpretation of experimental results;
2. To project future research needs;
3. To monitor and evaluate the NCI distribution system.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any

employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File folders, magnetic tape, discs.

RETRIEVABILITY:

Retrieved by name of donor and cross-referenced by identifying number, procurement source, and various epidemiological characteristics.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

Procedural Safeguards: Access to manual files is strictly controlled by files staff. Files may be accessed only at the request of the system manager or other authorized employee. Access to computer files is controlled through security codes known only to authorized users.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Deputy Chief, Biological Carcinogenesis Branch
Division of Cancer Cause and Prevention
Landow Building, Room 9A-22

National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Specimen Report Form filled out by the organization providing specimens.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0078

SYSTEM NAME:

Administration: Consultant File, HHS/NIH/NHLBI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

List of consultants available for use in evaluation of National Heart, Lung, and Blood Institute special grants and contracts.

CATEGORIES OF RECORDS IN THE SYSTEM:

Names, resumes, lists of publications.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(d), 281.

PURPOSE(S):

1. To identify and select experts and consultants for program reviews and evaluations. 2. For use in evaluation of NHLBI special grants and contracts.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Computer disc and file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Data on computer files is accessed by keyword known only to authorized users. Rooms where records are stored are locked when not in use. During regular business hours rooms are unlocked but are controlled by on-site personnel.

RETENTION AND DISPOSAL:

Records are kept until the individual is no longer available for consultation.

SYSTEM MANAGER(S) AND ADDRESS:

Systems Analyst
Division of Extramural Affairs, NHLBI
Westwood Building, Room 5A-15
5333 Westbard Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Privacy Act Coordinator, NHLBI
Building 31, Room 5A-50, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Subject individual.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0084

SYSTEM NAME:

Administration: Curricula Vitae of Scientists, Consultants, and Board and Commission Members, HHS/NIH/NIADDK.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 31, Room 9A04, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Consultants, scientists, advisory board and commission members.

CATEGORIES OF RECORDS IN THE SYSTEM:

Employment, education, personal and achievement histories.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(d) 289a.

PURPOSE(S):

1. To communicate information to the public regarding awards received, presentation of papers, and promotions of National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases (NIADDK) scientists and administrative personnel.

2. To respond to requests for current biographical information about NIADDK scientists.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to professional and support staff of the Office of Scientific and Technical Reports, NIADDK.

Physical Safeguards: Records are stored in a locked file cabinet.

Procedural Safeguards: Access to files is limited by files staff. Records may be

removed from files only at the request of authorized employees.

RETENTION AND DISPOSAL:

Years at NIH: 5. Disposal methods include burning or shredding materials.

SYSTEM MANAGER(S) AND ADDRESS:

Information Officer, NIADDK
Building 31, Room 9A03, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought.

RECORD SOURCE CATEGORIES:

Individuals.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0087

SYSTEM NAME:

Administration: Employees and Consultants, HHS/NIH/NIAID.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current and former key professional employees of the Institute and consultants.

CATEGORIES OF RECORDS IN THE SYSTEM:

Press releases, curriculum vitae, nominations for awards and photographs.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(d) 289a.

PURPOSE(S):

For background records to provide public announcements on National Institute of Allergy and Infectious Diseases (NIAID) Council members, advisors and guest lecturers.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Stored in file folders.

RETRIEVABILITY:

Retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to staff whose duties require the use of such information. Authorized users are located in the Office of the Director, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records in this system are stored in file folders which are kept in locked cabinets. The room is locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

RETENTION AND DISPOSAL:

Records are kept until no longer needed for reference.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Office of Research Reporting and Public Response
Building 31, Room 7A32, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to NIAID Privacy Act Coordinator

Westwood Building, Room 704
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as record notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the System Manager at the address above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individuals and newspaper clippings.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0088

SYSTEM NAME:

Clinical Research: Researchers Using H-2 Soluble Antigen and H-2 Antiserum, HHS/NIH/NIAID.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Westwood Building, Room 7A07
5333 Westbard Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Scientific investigators concerned with histocompatibility typing who have applied for research materials.

CATEGORIES OF RECORDS IN THE SYSTEM:

Applications for research materials.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 263, 289a, 289c.

PURPOSE(S):

1. To maintain a record of active investigators using the research reagents (mouse major histocompatibility

complex (MHC) antisera which includes H2, IA, LY, and THY; and H-2 antigens which includes A, B, D and K), thereby facilitating feedback and exchange of information about the reagents among the investigators.

2. To control quantities of scarce reagents.

3. To collect data for reports to the Office of the Director, Immunology and Allergic and Immunologic Diseases Program, and to the Office of the Director, National Institute of Allergy and Infectious Diseases (NIAID), for program review and planning.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Data regarding scientific investigators may be published in reagents catalogue and may be used to respond to public inquiries.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records in this system are stored on index cards, in file folders and on computer tapes and discs.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to NIAID staff whose duties require the use of such information. Authorized users are located in the Immunobiology and Immunochemistry Branch, Immunology and Allergic and Immunologic Diseases Program (IAIDP), NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Textual records are stored in offices which are locked when not in use. Access to computer facilities is by key-card. The building is locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee. For computerized records, access is controlled by the use of security codes known only to authorized users.

RETENTION AND DISPOSAL:

Years at NIH: Indefinite.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Immunobiology and
Immunochemistry Branch, IAIDP
Westwood Building, Room 757
5333 Westbard Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to

NIAID Privacy Act Coordinator
Westwood Building, Room 704
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the System Manager at the address above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individuals.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0089

SYSTEM NAME:

Clinical Research: HLA Antiserum and Tray Users, HHS/NIH/NIAID.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Westwood Building, Room 754
5333 Westbard Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Scientific and clinical investigators concerned with histocompatibility

typing and immunological research who have applied for research materials.

CATEGORIES OF RECORDS IN THE SYSTEM:

Applications for research materials.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 263, 289a, 289c.

PURPOSE(S):

1. To maintain a record of active investigators using the research reagents (histocompatibility testing sera, homozygous typing cells and tissue typing trays), thereby facilitating feedback and exchange about the reagents among the investigators.

2. To control quantities of scarce reagents.

3. To collect data for reports to the Office of the Director, Immunology and Allergic and Immunologic Diseases Program and to the Office of the Director, NIAID, for program review and planning.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Data regarding investigators may be published in reagents catalogue and may be used to respond to public inquiries.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored on index cards, in file folders and on machine-readable media.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to NIAID staff whose duties require the use of such information. Authorized users are located in the Genetics and Transplantation Biology Branch, Immunology and Allergic and Immunologic Diseases Program, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: The building is locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only

at the request of the system manager or other authorized employee. For computerized records, access is controlled by the use of security codes known only to authorized users.

RETENTION AND DISPOSAL:

Years at NIH: Indefinite.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Genetics and Transplantation Branch, IAIDP
Westwood Building, Room 752
5333 Westbard Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to

NIAID Privacy Act Coordinator
Westwood Building, Room 704
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the System Manager at the address above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individuals.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0091

SYSTEM NAME:

Administration: General Files on Employees, Donors and Correspondents, HHS/NIH/NEI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 31, Room 6A03, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the

Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Donors of gifts, employees, correspondents of the National Eye Institute (NEI).

CATEGORIES OF RECORDS IN THE SYSTEM:

Budget, administrative services, correspondence.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 289i.

PURPOSE(S):

1. To identify certain donors of unconditional gifts to the National Eye Institute;

2. To record certain delegations and permit holders;

3. To maintain a mailing list of persons in the vision research community;

4. To provide service or information to specific requesters;

5. To communicate with collaborating investigators in vision research.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name and subject area.

SAFEGUARDS:

Employees who maintain records in this system are instructed to grant regular access only to staff with designated responsibilities directly related to the purpose for which the records are kept. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager. Records are kept in locked offices.

RETENTION AND DISPOSAL:

Years at NIH: 1. Disposal methods include burning or shredding paper materials.

SYSTEM MANAGER(S) AND ADDRESS:

Executive Officer, NEI
Building 31, Room 6A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to

Records Management Officer, NEI
Building 31, Room 6A31, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individuals.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0093

SYSTEM NAME:

Administration: Authors, Reviewers and Members of the Journal of the National Cancer Institute, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Westwood Building, Room 850
5333 Westbard Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Authors and manuscript reviewers and members of the Journal of the National Cancer Institute (JNCI) editorial board.

CATEGORIES OF RECORDS IN THE SYSTEM:

Accepted, rejected and pending manuscripts and review comments.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 281.

PURPOSE(S):

Manuscript review by NCI staff of manuscripts submitted for possible publication or oral presentations.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to qualified experts not within the definition of Department employees for opinions as a part of the review of manuscripts.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name and manuscript number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to JNCI staff personnel, the Editor-in-Chief, and members of the Board of Editors whose duties require the use of such information.

Physical Safeguards: Records are kept in a limited access area where an employee is present at all times during working hours. Office is locked during off-duty hours.

Procedural Safeguards: Access to manual files is tightly controlled by office staff. Only authorized users may have access to the files. Information that identifies reviewers is not maintained in computer files.

RETENTION AND DISPOSAL:

Years at NIH: 1. Disposal methods include burning or shredding.

SYSTEM MANAGER(S) AND ADDRESS:

Managing Editor, JNCI
Westwood Building, Room 850
5333 Westbard Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Authors and reviewers.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0096

SYSTEM NAME:

Contracts: National Cancer Institute Contract Management System Principal Investigators, Project Officers and Contract Specialists, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 12, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Principal investigators, project officers, and contract specialists.

CATEGORIES OF RECORDS IN THE SYSTEM:

Contract projects administrative data (e.g., project titles and descriptions, contractor information, etc.), fiscal data (e.g., funding/cost data, obligations), and programmatic data (e.g., scientific classifications, scope of work).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(g), 281.

PURPOSE(S):

(1) Provides administrative and financial information for administration and tracking of procurement activities of National Cancer Institute (NCI) contracts;

(2) Collects and maintains this information in an accurate and timely fashion for financial reporting and budgeting, as well as ad hoc queries on NCI contracting activities;

(3) Provides pre-award tracking and milestone data used to monitor and administer the total procurement process.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Disclosure may be made to a contractor when the Department contemplates that it will contract with a

private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to comply with the Privacy Act with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored on magnetic tapes and on-line discs.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: The contractor maintaining this system has been instructed not to release any information from the contract management system without prior approval of the system manager.

Physical Safeguards: Computer records are kept in a limited access area. Offices are locked during off-duty hours.

Procedural Safeguards: The computer center protects files physically and with access controls. Files may be used only with the approval of the system manager.

RETENTION AND DISPOSAL:

Years at NIH: 10. Records may be retired to a Federal Records Center and subsequently disposed of in accordance with the NIH Records Control Schedule. Disposal methods include erasing computer tapes and shredding of printed output.

SYSTEM MANAGER(S) AND ADDRESS:

Manager, NCI Contract Management System
Grants Financial and Data Analysis Branch
Westwood Building, Room 8A03
5333 Westbard Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Negotiated Contract and Summary of Negotiations/IMPAC Code Sheet, NIH forms 1759-1 and 1759-2 generated by NIH staff.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0099

SYSTEM NAME:

Clinical Research: Patient Medical Records, HHS/NIH/CC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 10, Room 1N116
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Registered Clinical Center patients. Some individuals not registered as patients but seen in Clinical Center for diagnostic tests.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical treatment records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 248.

PURPOSE(S):

1. To provide a continuous history of the treatment afforded individual patients in the Clinical Center;

2. To provide a data base for the clinical research conducted within the hospital.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information may be used to respond to Congressional inquiries for constituents concerning admission to NIH Clinical Center.

Social Work Department may give pertinent information to community agencies to assist patients or their families. Referring physicians receive medical information for continuing patient care after discharge.

Information regarding diagnostic problems, or having unusual scientific value may be disclosed to appropriate medical or medical research organizations or consultants in connection with treatment of patients or in order to accomplish the research purpose of this system. For example, tissue specimens may be sent to the Armed Forces Institute of Pathology; X-rays may be sent for the opinion of a radiologist with extensive experience in a particular kind of diagnostic radiology. The recipients are required to comply with the Privacy Act with respect to these records.

Records may be disclosed to representatives of the Joint Commission on Accreditation of Hospitals conducting inspections to insure that the quality of Clinical Center medical record-keeping meets established standards.

Certain infectious diseases are reported to State Government as required by law.

Medical information may be disclosed to tumor registries for maintenance of health statistics.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical

condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders and/or on microfiche, and on computer tapes.

RETRIEVABILITY:

Records are retrieved by unit number and patient name.

SAFEGUARDS:

Authorized Users: Employees maintaining records in this system are instructed to grant regular access only to physicians and dentists and other health care professionals officially participating in patient care or for whom aspecific authorization is on file.

Physical Safeguards: All record facilities are locked when system personnel are not present.

Procedural Safeguards: Access to files is strictly controlled by the system manager. Records may be removed only by system personnel following receipt of a request signed by an authorized user. Access to computerized records is controlled by the use of security codes known only to the authorized user. Codes are user- and function-specific.

These safeguards were developed in accordance with chapter 45-13, Safeguarding Records Contained in Systems of Records, of the HHS General Administration Manual, corresponding chapter-PHS hf: 45-13, and part 6, ADP Systems Security, of the HHS ADP Systems Manual.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-E-22. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Medical Record Department
Building 10, Room 1N116
9000 Rockville Pike
Bethesda, Md. 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to the system manager at the above

address. The requester must provide tangible proof of identity, such as a driver's license. If no identification papers are available, the requester must verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion. The representative may be a physician, or other health professional, or other responsible individual. The subject individual will be granted direct access unless it is determined that such access is likely to have an adverse effect on him or her. In that case, the medical/dental record will be sent to the designated representative. The individual will be informed in writing if the record is sent to the representative.

A parent or guardian who requests notification of or access to a child's/incompetent person's record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child/incompetent person as well as his/her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the system manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Referring physicians, other medical facilities (with patient's consent), patients, relatives of patients.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0100

SYSTEM NAME:

Clinical Research:
Neuropharmacology Studies, HHS/NIH/
NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 36, Room 5A06
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients in National Institute of Neurological and Communicative Disorders and Stroke (NINCDS) related studies concerning aspects of neuropharmacology.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

Clinical research on the pharmacology in various diseases of the central nervous system and on the effectiveness and action of drugs as given to treat these diseases.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Information may be used to respond to Congressional inquiries for constituents concerning admission to the NIH Clinical Center.

Certain infectious diseases are reported to State Government as required by law.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to

represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in laboratory notebooks, file folders and on index cards.

RETRIEVABILITY:

Records are retrieved by name, diagnosis, data of laboratory determination.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to physicians and scientists working within a specific NIH laboratory.

Physical Safeguards: Records are kept in a cabinet and locations which are locked during non-working hours.

Procedural Safeguards: Persons having access to the system are trained in Privacy Act requirements. Records are used either in the system location or a designated work area. Records are returned to cabinets at the end of each working day. System location is attended at all times during working hours.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Intramural Research, NINCDS
Building 36, Room 5A05, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists write to

Head, Admin. Management Section,
NINCDS
Building 31, Room 8A47, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for

acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Other medical, scientific and educational institutions; individual physicians in private practice.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0102

SYSTEM NAME:

Administration: Grants Associates
Program Working Files, HHS/NIH/DRG.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

NIH, Bg. 31, Room 1B55
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Grants Associates Training Program
Participants.

CATEGORIES OF RECORDS IN THE SYSTEM:

Application, correspondence, curriculum vitae including summary of assignments, reports on assignments, critiques of courses.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. Part III; 42 U.S.C. 241c.

PURPOSE(S):

Records are maintained for program management:

1. To assist participants in obtaining maximum benefits from the Program;

2. To provide information, without individual identifiers or personal data, to current Grants Associates about assignments and other training opportunities;

3. To provide resumes to other HHS components for possible employment of Grants Associates;

4. For review and evaluation of changes in the Program.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

To U.S. Office of Personnel Management for salary approval.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Access limited to authorized personnel (system manager and staff). Records are stored in locked cabinets in offices which are locked during off-duty hours.

RETENTION AND DISPOSAL:

Complete records are retained for 2 years after completion of the Grants Associate appointment. Curriculum vitae including summary of assignments are kept indefinitely. Disposal methods include burning or shredding paper materials.

SYSTEM MANAGER(S) AND ADDRESS:

Executive Secretary, Grants Associates Program
NIH, Bg. 31, Room 1B55
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists write to

Privacy Act Coordinator, DRG
Westwood Building, Room 448, NIH
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a

criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as Notification Procedures above. Requesters should reasonably specify the record contents sought.

CONTESTING RECORD PROCEDURES:

Write to the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested, and the corrective action desired.

RECORD SOURCE CATEGORIES:

Individual; educational institution attended by individual; personal references; and the Office of Personnel Management.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0105

SYSTEM NAME:

Administration: Health Records of Employees, Visiting Scientists, Fellows, Contractors and Relatives of Inpatients, HHS/NIH/OD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Bg. 10, 13, and 31
9000 Rockville Pike
Bethesda, MD 20205
Federal Building
7550 Wisconsin Avenue
Bethesda, MD 20205
Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205
Rocky Mountain Laboratory
Hamilton, Montana 59840
Washington National Records Center
4205 Suitland Road
Suitland, MD 20409

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Employees, fellows, visiting scientists, relatives of inpatients, visitors, contractors working on site.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical records.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 7901.

PURPOSE(S):

1. for medical treatment;
2. upon researcher request with individual's written permission, release

of record for research purposes to medical personnel;

3. upon request by HHS personnel offices for determination of fitness for duty, and for disability retirement and other separation actions;

4. for monitoring personnel to assure that safety standards are maintained.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to Federal, State and local government agencies for adjudication of benefits under workman's compensation, and for disability retirement and other separation actions.

To district office of OPEC, Department of Labor with copies to the U.S. Office of Personnel Management for processing of disability retirement and other separation actions.

Upon non-HHS agency request, for examination to determine fitness for duty with copies to requesting agency and to the U.S. Office of Personnel Management.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Files are maintained in locked cabinets with access limited to authorized personnel (system manager and staff).

RETENTION AND DISPOSAL:

Records are kept until 6 years after separation of an employee.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Division of Safety
Building 31, Room B2B47, NIH
9000 Rockville Pike
Bethesda, MD 20205
Administrative Officer
Rocky Mountain Laboratory
Hamilton, Montana 59840

NOTIFICATION PROCEDURE:

Contact System Manager at appropriate treatment location listed above, to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Records contain data resulting from clinical and preventive services provided at treatment location, and data received from individual.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0106

SYSTEM NAME:

Administration: Executive Secretariat
Correspondence Records, HHS/NIH/
OD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 12A, NIH
and
Building 31, Room 3A22
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who correspond with NIH or request information on NIH programs.

CATEGORIES OF RECORDS IN THE SYSTEM:

Correspondence.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301 44 U.S.C. 3101.

PURPOSE(S):

1. To locate and follow-up correspondence to assure prompt reply.
2. Incoming correspondence is forwarded to other HHS components when a response from them is warranted.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored by computer index and in file folders.

RETRIEVABILITY:

Records are retrieved by name, document number, date, and subject.

SAFEGUARDS:

Authorized Users: Access to textual records and computer files is limited to

authorized personnel (system manager and staff).

Physical Safeguards: Documents are stored in file cabinets. Rooms containing files are locked during off-duty hours.

Procedural Safeguards: Computer files are password protected. Passwords are known only to authorized personnel.

RETENTION AND DISPOSAL:

Records may be retained in accordance with the NIH records Control Schedule, items 1700-C-1 and 1700-C-2. The records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Executive Secretariat
Building 1, Room 18, NIH
9000 Rockville Pike
Bethesda, MD 20205
Administrative Officer
Office of the Director
National Cancer Institute
Building 31, Room 11A29
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to System Manager to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Records are derived from incoming and outgoing correspondence.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0108

SYSTEM NAME:

Personnel: Guest Workers/Visiting Fellows/Student Scientists/Scientists Emeriti, HHS/NIH/DPM.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Personnel and Administrative Offices of the National Institutes of Health (NIH).

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals using NIH facilities who are not NIH employees.

CATEGORIES OF RECORDS IN THE SYSTEM:

Personal information including name, address, date and place of birth, education, employment, purpose for which NIH facilities are desired, outside sponsor, and NIH sponsor.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241.

PURPOSE(S):

To document the individual's presence at NIH and to record that the individual is not performing a service for the government.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made:
To U.S. Office of Personnel Management for program evaluation purposes;

To institutions providing financial support;

To the U.S. State Department for matters related to its mission regarding foreign visitors;

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is

compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Access is granted only to personnel staff, administrative office staff and management officials directly involved in the administration of the Guest Worker, Visiting Fellow, Student Scientist and Scientist Emeriti programs.

Physical Safeguards: Record facilities are locked when system personnel are not present.

Procedural Safeguards: Access to the files is controlled by system personnel. Records may be removed from the file only with the approval of the system manager or other authorized employees.

RETENTION AND DISPOSAL:

Years at NIH: 3 years after visit. Disposal methods include burning or shredding paper materials.

SYSTEM MANAGER(S) AND ADDRESS:

Assistant Director for Operations
Division of Personnel Management (DPM)
Bldg. 1, Rm 19, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

Privacy Act Coordinator, DPM
Building 31, Room 1C39, NIH
9000 Rockville Pike
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Contact the Personnel Officer or Administrative Officer in whose office the record is located and provide verification of identity as described under notification procedure above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the Personnel Officer or Administrative Officer in whose office the record is located, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individual, NIH sponsor, funding institution, State Department.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0112

SYSTEM NAME:

Grants: Research, Research Training, Fellowship and Construction Applications and Awards, HHS/NIH/OD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

See Appendix I.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Grant applicants and Principal Investigators; Program Directors; Institutional and Individual Fellows; Research Career Awardees.

CATEGORIES OF RECORDS IN THE SYSTEM:

Grant applications and review history, awards, financial records, progress reports and related correspondence.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(c), (d), 276, 281, 287, 288, 289(a), (d), (e), (i), 289(k-2).

PURPOSE(S):

1. Information provided is used by NIH staff for review, award, and administration of grant programs.

2. Information is also used to maintain communication with former fellows who have incurred an obligation through the National Research Service Award Program.

3. Staff may also use curriculum vitae to identify candidates who may serve as ad hoc consultants or committee and council members in the grant peer review process.

4. As a part of the cost analysis of a proposed grant, a budget review is conducted of the percentage of time and effort listed under personnel category, equipment and supply categories, and other items listed under 'other' category.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made:

Of assignments of research investigators and project monitors to specific research projects to the National Technical Information Service (NTIS), Department of Commerce, to contribute to the Smithsonian Science Information Exchange, Inc.

To the cognizant audit agency for auditing;

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual;

(5) To qualified experts not within the definition of Department employees as prescribed in Department Regulations for opinions as a part of the application review process;

(6) To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter;

(7) A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the

information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

(8) To a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in a system. Relevant records will be disclosed to such a contractor. The contractor shall be required to comply with the Privacy Act with respect to such records;

(9) To the grantee institution in connection with performance or administration under the terms and conditions of the award, or in connection with problems that might arise in performance or administration if an award is made on a grant proposal.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Stored in file folders, on computer tapes and discs, cards and in notebooks.

RETRIEVABILITY:

Retrieved by name and grant number.

SAFEGUARDS:

A variety of physical and procedural safeguards are implemented, as appropriate, at the various locations of this system:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to officials whose duties require use of the information. These officials include review groups, grants management staff, other extramural program staff, health scientist administrators, data processing and analysis staff and management officials with oversight responsibilities for extramural programs. Other one-time and special access is granted on an

individual basis as specifically authorized by the system manager. Authorization for access to computerized files is controlled by the system manager or designated official and is granted on a need-to-know basis. Lists of authorized users are maintained.

Physical Safeguards: Secured facilities, locked rooms, locked cabinets, personnel screening; records stored in order of grant numbers which are randomly assigned.

Procedural Safeguards: Access to file rooms and files is strictly controlled by files staff or other designated officials; charge-out cards identifying users are required for each file used; inactive records are transferred to controlled storage in Federal Records Center in a timely fashion; retrieval of records from inactive storage is controlled by the system manager or designated official and by the NIH Records Management Officer; computer files are password protected and access is actively monitored by the Computer Center to prevent abuse. Employees are given specialized training in the requirements of the Privacy Act as applied to the grants program.

RETENTION AND DISPOSAL:

Years at NIH: 1 year after close out except for Construction Grants which are retained for 3 years after close-out. Years at Federal Records Center: 5 years except for Construction Awards, 12 years.

SYSTEM MANAGER(S) AND ADDRESS:

See Appendix II.

NOTIFICATION PROCEDURE:

Write to official at the address specified in Appendix II to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Write to the official at the address specified in Appendix IV to obtain access to a record, and provide the same information as is required under the Notification Procedures above. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified in Appendix II and reasonably

identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information submitted by applicant; supplemented by outside reviewers and internal staff.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

Appendix I System Location

National Cancer Institute
Westwood Building, Room 833
5333 Westbard Avenue
Bethesda, MD 20205

National Heart, Lung, and Blood Institute
Westwood Building, Room 7A11
5333 Westbard Avenue
Bethesda, MD 20205

National Library of Medicine
Building 38A, Room 5N509
8600 Rockville Pike
Bethesda, MD 20209

National Institute of Allergy and Infectious Diseases
Westwood Building, Rooms 722 and 735
5333 Westbard Avenue
Bethesda, MD 20205

National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases
Westwood Building, Room 610
5333 Westbard Avenue
Bethesda, MD 20205

National Institute of Child Health and Human Development
Landow Building, Room A621
7910 Woodmont Avenue
Bethesda, MD 20205

National Institute on Aging
Building 31, Rm 5C39
9000 Rockville Pike
Bethesda, MD 20205

National Institute of Dental Research
Westwood Building, Room 518
5333 Westbard Avenue
Bethesda, MD 20205

National Institute of Environmental Health Sciences
Building 12, Room 1204
Research Triangle Park, North Carolina 27709

National Institute of General Medical Sciences
Westwood Building, Room 938
5333 Westbard Avenue
Bethesda, MD 20205

National Institute of Neurological and Communicative Disorders and Stroke
Federal Building, Room 10A12
7550 Wisconsin Avenue
Bethesda, MD 20205

National Eye Institute
Building 31, Room 6A47
9000 Rockville Pike
Bethesda, MD 20205

Division of Research Resources
Building 31, Room 5B34
9000 Rockville Pike
Bethesda, MD 20205

Washington National Records Center
4205 Suitland Road
Suitland, MD 20409

Appendix II System Manager and Address

National Cancer Institute
Grants Privacy Act Coordinator
Room 8A18, Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

National Heart, Lung, and Blood Institute
Administrative Officer, Division of Extramural Affairs
Room 5A15, Westwood Building

National Library of Medicine
Associate Director for Extramural Programs
Building 38A, Room 5N505

National Institute of Allergy and Infectious Diseases
Chief, Grants Management Branch
Westwood Building, Room 710 and
Head, Data Control Section
Westwood Building, Room 733

National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases
Grants Management Officer
Room 639, Westwood Building

National Institute of Child Health and Human Development
Chief, Office of Grants and Contracts
Room A621, Landow Building

National Institute on Aging
Grants Management Officer

Room 5C39, Building 31

National Institute of Dental Research
Grants Management Officer, NIDR
Room 518, Westwood Building

National Institute of Environmental Health Sciences
Grants Management Officer
Room 1209, Building 12, NIEHS

National Institute of General Medical Sciences
Grants Management Officer, NIGMS
Room 938, Westwood Building

National Institute of Neurological and Communicative Disorders and Stroke
Grants Management Officer
Room 1004A, Federal Building

National Eye Institute
Grants Management Officer
Room 6A52, Building 31

Division of Research Resources
Director, Office of Grants and Contracts Management
Room 5B34, Building 31

Appendix III Notification Procedures

National Cancer Institute
Chief, Grants Administration Branch
Room 8A18, Westwood Building

National Heart, Lung, and Blood Institute
Privacy Act Coordinator, NHLBI
Room 5A50, Building 31

National Library of Medicine
See Appendix II.

National Institute of Allergy and Infectious Diseases
See Appendix II.

National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases
Administrative Officer
Room 9A46, Building 31

National Institute of Child Health and Human Development
See Appendix II.

National Institute on Aging
See Appendix II.

National Institute of Dental Research
See Appendix II.

National Institute of Environmental Health Sciences

See Appendix II.

National Institute of General Medical Sciences

See Appendix II.

National Institute of Neurological and Communicative Disorders and Stroke
See Appendix II.

National Eye Institute
See Appendix II.

Division of Research Resources
See Appendix II.

Appendix IV Record Access Procedures

National Cancer Institute
Chief, Grants Administration Branch
Room 8A18, Westwood Building

National Heart, Lung, and Blood Institute
See Appendix III.

National Library of Medicine
See Appendix II.

National Institute of Allergy and Infectious Diseases
Privacy Act Coordinator
Room 705, Westwood Bldg.

National Institute of Arthritis, Diabetes, and Digestive and Kidney Diseases
See Appendix III.

National Institute of Child Health and Human Development
See Appendix II.

National Institute on Aging
See Appendix II.

National Institute of Dental Research

Grants Management Officer
NIDR
Room 518
Westwood Building

National Institute of Environmental Health Sciences
See Appendix II.

National Institute of General Medical Sciences
Privacy Act Coordinator
Room 9A05, Westwood Building

National Institute of Neurological and Communicative Disorders and Stroke
Head, Administration Mgmt. Section
Room 8A47, Building 31

National Eye Institute
Administrative Officer
Room 6A31, Building 31

Division of Research Resources
Privacy Act Coordinator
Room 5B13, Building 31

09-25-0115

SYSTEM NAME:

Administration: Curricula Vitae of Consultants and Clinical Investigators, HHS/NIH/NIAID

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 31, Room 7A49, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Consultants and Clinical Investigators under National Institute of Allergy and Infectious Diseases (NIAID) Investigational New Drug Applications.

CATEGORIES OF RECORDS IN THE SYSTEM:

Curriculum vitae.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(d) 289a.

PURPOSE(S):

1. To maintain a record of Investigational New Drug (IND) applications.
2. To appoint consultants to the Clinical Research Subpanel (CRS).

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Stored in books.

RETRIEVABILITY:

Retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to

NIAID staff whose duties require the use of such information. Authorized users are located in the Clinical and Epidemiological Studies Branch, Microbiology and Infectious Diseases Program, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Building is locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

RETENTION AND DISPOSAL:

Records are retained until no longer needed for reference.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Clinical and Epidemiological Studies Branch, NIAID
Building 31, Rm 7A49
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to

NIAID Privacy Act Coordinator
Westwood Building, Room 704
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as record notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individuals.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0116

SYSTEM NAME:

Contracts: Medical Consultants Under Professional Services Contracts, HHS/NIH/NIAID.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Westwood Building, Room 750, NIH
5333 Westbard Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Medical consultants under contract with the National Institute of Allergy and Infectious Diseases (NIAID).

CATEGORIES OF RECORDS IN THE SYSTEM:

Administrative files, biographical data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(d) 289a.

PURPOSE(S):

To prepare travel orders, professional services contracts, and honorarium forms for consultants to NIAID.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Stored in card files.

RETRIEVABILITY:

Retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to NIAID staff whose duties require the use of such information. Authorized users are located in the Development and Applications Branch, Microbiology and Infectious Disease Program, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: The building is locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

RETENTION AND DISPOSAL:

Records are retained for up to 6 years after final payment on a contract.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Development and Applications
Branch, NIAID
Westwood Bldg., Rm. 750
5333 Westbard Ave.
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to

NIAID Privacy Act Coordinator
Westwood Building, Room 704
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as record notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individuals.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0117

SYSTEM NAME:

International Activities: U.S.-Japan Program Panel Members, HHS/NIH/NIAID.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Westwood Building, Room 749
5333 Westbard Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Panel Members of the U.S.-Japan Cooperative Medical Science Program.

CATEGORIES OF RECORDS IN THE SYSTEM:

Letters of appointment, curriculum vitae and correspondence.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(d) 289a.

PURPOSE(S):

1. For use in administering the U.S.-Japan Cooperative Medical Science program.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Stored in file folders.

RETRIEVABILITY:

Retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to National Institute of Allergy and Infectious Diseases (NIAID) staff whose duties require the use of such information. Authorized users are located in the Microbiology and Infectious Diseases Program, NIAID. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Building is locked during off-duty hours.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee.

RETENTION AND DISPOSAL:

Years at NIH: 2. Disposal methods include burning or shredding paper materials.

SYSTEM MANAGER(S) AND ADDRESS:

Special Assistant to the Director,
Microbiology and Infectious Diseases
Program, NIAID
Westwood Building, Room 749
5333 Westbard Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to:

NIAID Privacy Act Coordinator
Westwood Building, Room 704
5333 Westbard Avenue
Bethesda, MD 20205

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as record notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official at the address specified under access procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Panel members.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0118

SYSTEM NAME:

Contracts: Professional Services
Contractors, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Building 31, Rm. 6A09, DCT
9000 Rockville Pike
Bethesda, Md. 20205
Building 31, Rm. 3A22, OD
9000 Rockville Pike
Bethesda, Md. 20205

Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals under contract with the National Cancer Institute.

CATEGORIES OF RECORDS IN THE SYSTEM:

Professional Services Contracts.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(d), 281.

PURPOSE(S):

Used by staff for general administrative purposes to assure compliance with contract program requirements.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Stored in file folders.

RETRIEVABILITY:

Retrieved by name.

SAFEGUARDS:

Records are maintained in offices which are locked when not in use. Access is limited to authorized personnel (system manager and staff).

RETENTION AND DISPOSAL:

Years at NIH: 5. Disposal methods include burning or shredding paper materials and erasing computer tapes.

SYSTEM MANAGER(S) AND ADDRESS:

Administrative Officer, DCT
Building 31, Room 3A50, NIH
9000 Rockville Pike
Bethesda, MD 20205

Administrative Officer, OD
Building 31, Room 11A29, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to the appropriate System Manager listed above to determine if a record exists. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Individuals in the system.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0121

SYSTEM NAME:

International Activities: Senior
International Fellowships Program,
HHS/NIH/FIC.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Bldg. 38A, Room 617, NIH
9000 Rockville Pike
Bethesda, MD, 20205

Write to System Manager at the address below for the address of the Federal Records Center where records from this system may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Applicants for Senior International Fellowships.

CATEGORIES OF RECORDS IN THE SYSTEM:

Applications and associated records and reports.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 242 e.

PURPOSE(S):

For award and administration of fellowships to outstanding faculty members in midcareer from U.S. biomedical research and educational institutions for study abroad.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Each fellow's home institution receives a notice of award and funding for the fellowship.

Applications are made available to authorized employees and agents of the Federal Government for purposes of investigations, inspections and audits, and in appropriate cases, to the Department of Justice for proper action under civil and criminal laws.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders; magnetic tapes.

RETRIEVABILITY:

Name and fellowship number.

SAFEGUARDS:

Authorized Users. Employees who maintain records in this system are instructed to grant regular access only to Fogarty International Center (FIC) program staff. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards. The records are maintained in locked file cabinets and offices are locked during off-duty hours.

Procedural Safeguards. Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employees.

RETENTION AND DISPOSAL:

Number of years held at NIH: 1.

Number of years held at Federal Records Center before disposal: 5.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, International Research Awards Branch
Bldg. 38A, Room 617
9000 Rockville Pike
Bethesda, Md. 20205

NOTIFICATION PROCEDURE:

Requests for notification of or access to records should be addressed to the system manager, listed above. The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official under notification procedures above, and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information obtained from applicants and persons supplying recommendations through the Division of Research Grants.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0123

SYSTEM NAME:

Clinical Research: Clinical Trials Dealing with Fertility-Regulating Methods, HHS/NIH/NICHD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Landow Bldg., Room C625
7910 Woodmont Ave.
Bethesda, Md. 20205

and at hospitals and medical centers under contract. A list of contractor sites may be obtained from the System Manager.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Volunteers and patients in clinical trials dealing with male and female fertility-regulating methods.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical records of subjects participating in clinical trials.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(g), 289d.

PURPOSE(S):

1. Analysis of the effectiveness, side-effects and safety of various fertility-regulating approaches in male and female by the Contraceptive Development Branch, Center for Population Research, National Institute of Child Health and Human Development (NICHD), which receives data extracted by principal investigators from research records.

2. Program management.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Certain infectious diseases are reported to state governments as required by law.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to

enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File folders, computer tapes or discs.

RETRIEVABILITY:

Name or identifier codes.

SAFEGUARDS:

The records are maintained in locked cabinets with access limited to authorized personnel (system manager, principal investigator and staff assigned to the project, project officer, contracting officer). For computerized records, records are retrieved by an coded number and personal identifiers, such as name or patient number, are deleted. Other safeguards established in accordance with Department standards and National Bureau of Standards guidelines (e.g. security codes) are used, limiting access to the authorized personnel stated.

RETENTION AND DISPOSAL:

One year to indefinitely, depending on the requirements of the specific study. Records are shredded, burned or erased.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Contraceptive Development
Branch, Center for Population
Research, NICHD
Landon Bldg., Room 7A04
7910 Woodmont Ave.
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a file exists, write to the System Manager and provide the following information:

1. Approximate dates and place of treatment.
2. Name of the study, if known.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to system manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information provided by subjects and clinical investigators.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0124

SYSTEM NAME:

Administration: Pharmacology
Research Associates, HHS/NIH/
NIGMS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

National Institutes of Health
Westwood Bldg., Room 919
5333 Westbard Avenue
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Applicants for positions as Pharmacology Research Associates with the National Institute of General Medical Sciences (NIGMS).

CATEGORIES OF RECORDS IN THE SYSTEM:

Individual application forms, academic transcripts and references.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 209.

PURPOSE(S):

- (1) For review, award, and administration of the Pharmacology Research Associate Program (PRAT).
- (2) For consideration of the applicant by other NIH Associate Programs at the applicant's request.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File folders.

RETRIEVABILITY:

By name of applicant.

SAFEGUARDS:

The records are maintained in locked cabinets with access limited to authorized personnel (system manager and his/her staff assigned to the program).

RETENTION AND DISPOSAL:

1. Records of applicants who are admitted to the program are kept not more than 5 years. 2. Records of applicants who are not admitted to the program are kept for one year. All records are shredded after proper time has elapsed.

SYSTEM MANAGER(S) AND ADDRESS:

Director, PRAT Program
Pharmacological Sciences, NIGMS
Westwood Bldg., Room 919
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a file exists, write to System Manager and provide the following information: applicant's name, date of application.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to system manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information provided by applicants, university registrars, and references.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0126

SYSTEM NAME:

Clinical Research: National Heart, Lung, and Blood Institute Epidemiological and Biometric Studies, HHS/NIH/NHLBI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Records included in this system are located in hospitals, universities, research centers, research foundations, and coordinating centers under contract with the National Heart, Lung, and Blood Institute, and in NHLBI facilities in Bethesda, Maryland. A list of locations is available from the system manager.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Participants in these studies include (1) individuals who have been or who are presently being treated by the National Heart, Lung, and Blood Institute, for diseases or conditions of the heart, lung, blood vessels and blood; (2) individuals whose physical, genetic, social, economic, environmental, behavioral or nutritional conditions or habits are being studied in relation to the incidence of heart, lung, blood vessel and blood diseases among human beings; and (3) normal volunteers who have agreed to provide control data germane to these studies.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of clinical, medical, and statistical information resulting from or contained in research findings, medical histories, vital statistics, personal interviews, questionnaires, or direct observation. The system also includes records of current addresses of study participants, photographs, fingerprints, and

correspondence from or about participants in these studies.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sec. 412, 413 Public Health Service Act (42 U.S.C. 287a, 287b).

PURPOSE(S):

(1) Summaries of data resulting from these studies are used by the National Heart, Lung, and Blood Institute to monitor and evaluate the incidence of the diseases or the conditions under investigation and the relationship of various factors to the occurrence of these diseases.

(2) The summaries are also used for program planning and evaluation purposes.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Where the appropriate official of the Department, pursuant to the Department's Freedom of Information Regulation determines that it is in the public interest to disclose a record which is otherwise exempt from mandatory disclosure, disclosure may be made from this system of records.

The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice

or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record; (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information; and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Data may be stored in file folders, magnetic tapes or discs, punched cards, bound notebooks.

RETRIEVABILITY:

Name and/or participant identification number.

SAFEGUARDS:

Access to or disclosure of information is limited to authorized researchers and NHLBI employees whose duties require the use of such information. Data stored in computers is accessed through the use of key words known only to principal investigators or authorized personnel. All other information is stored in locked files. Locations are locked during non-working hours and are attended at all times during working hours.

RETENTION AND DISPOSAL:

Records are retained and destroyed according to the authority of the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361), section 3000-G. For a copy of this authority, write to the system manager.

SYSTEM MANAGER(S) AND ADDRESS:

Associate Director for Epidemiology and Biometry
National Heart, Lung, and Blood Institute
Federal Building, 2C-08
7550 Wisconsin Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, contact:

NHLBI Privacy Act Coordinator
Building 31, Room 5A29, NIH
9000 Rockville Pike
Bethesda, MD 20205

Requesters must provide the following information in writing:

1. Full name
2. Name and location of research study
3. Approximate dates of enrollment.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical/dental record shall, at the time the request is made, designate in writing a responsible representative who will be

willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the System Manager as indicated above. The contestor must reasonably specify in writing the record contents at issue and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information contained in these records is obtained directly from individual participants and from medical and clinical research observations.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0127

SYSTEM NAME:

Clinical Research: Clinical Trials
Dealing with Phototherapy for Neonatal Hyperbilirubinemia, HHS/NIH/NICHD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

National Institute of Child Health and Human Development (NICHD)
Bldg. 31, Room 2A-50
9000 Rockville Pike
Bethesda, MD 20205
and six contract sites performing the trials (See Appendix).

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients in clinical trials dealing with phototherapy in the newborn.

CATEGORIES OF RECORDS IN THE SYSTEM:

Individual medical and laboratory records of subjects participating in the study.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(g), 289d.

PURPOSE(S):

To study the effects of phototherapy on the treatment of hyperbilirubinemia in newborns and the subsequent development of the patient.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from that office made at the request of that individual, or the individual's parents, or guardian.

Certain infectious diseases are reported to state governments as required by law.

Information may be given to a primary care physician when treatment or follow-up of a condition noted during the one-year examination given each patient in the study is indicated.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File folders, computer tapes or discs.

RETRIEVABILITY:

Name or identifier code number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to members of the Biometry Branch who are participating in the analysis to the Program Director and to Principal Investigators. All of those having access

to the collected data are physicians involved in the study except for those in the Biometry Branch.

Physical Safeguards: All material having the code by the hospital of origin is kept in locked cabinets.

Procedural Safeguards: Access to files is strictly controlled by the Biometry Branch members. Records may be removed from files only with approval of the Program Director. For computerized records and analyses, access is controlled by the use of security codes known only to the Biometry Branch personnel involved. The computer system maintains an audit record of all attempted and successful requests for access.

RETENTION AND DISPOSAL:

One year to indefinitely, depending on the length of the patient follow-up required to complete the study. Records are shredded, burned or erased.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Section on Human Biochemical and Developmental Genetics, NPMB
Intramural Research Program, NICHD
Bldg. 10, 13N258
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a file exists, write to the System Manager and provide the following information:

1. Approximate dates and place of treatment.
2. Name of the study, if known.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to System Manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information provided by subjects and clinical investigators.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

APPENDIX

N01-HD-4-2818

University of Cincinnati
College of Medicine
Cincinnati, Ohio 45219

Principal Investigator:
James M. Sutherland, M.D.

N01-HD-4-2819

State University of New York
Downstate Medical Center
450 Clarkson Avenue
Brooklyn, NY 11203

Principal Investigator:
Dr. Audrey K. Brown

N01-HD-4-2820

Virginia Commonwealth University
Medical College of Virginia
1200 East Broad Street
Richmond, VA 23298

Principal Investigator:
Harold M. Maurer, M.D.

N01-HD-4-2821

Long Island Jewish Hillside Medical
Center
New Hyde Park
New York 11041

Principal Investigator:
Philip J. Lipsitz, M.D.

N01-HD-4-2822

Albert Einstein College of Medicine,
Yeshiva University
1300 Morris Park Avenue
Bronx, NY 10461

Principal Investigator:

Lawrence M. Gartner, M.D.

N01-HD-4-2823

Professional Staff Association of the
LAC/USC Medical Center
Women's Hospital, Room 919L
1240 Mission Road
Los Angeles, CA 90033

Principal Investigators:
Joan E. Hodgman, M.D.
Paul U. K. Wu, M.D.

09-25-0128

SYSTEM NAME:

Clinical Research: Neural Prosthesis & Biomedical Engineering Studies, HHS/NIH/NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Federal Building, Room 120
7550 Wisconsin Ave.
Bethesda, Md 20205
and (1) at hospitals and medical centers under contract; and (2) Federal Records Centers. A list of locations is available upon request from the System Manager.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients and normal volunteers, males and females, participating in clinical studies to determine the feasibility of neural prostheses, and in clinical studies related to the development of instrumentation for diagnosis and treatment of neurological and sensory disorders conducted under contract for the National Institute of Neurological and Communicative Disorders and Stroke (NINCDS).

CATEGORIES OF RECORDS IN THE SYSTEM:

Clinical research data as related to studies which seek to determine the feasibility of neural prostheses and to develop instrumentation for diagnosis and treatment of neurological and sensory disorders.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 421, 289a, 289c.

PURPOSE(S):

1. Clinical research on the development of neural prosthesis (artificial devices) to enhance function of individuals with various disorders of the central nervous system.

2. Research on the development of new instruments to improve diagnosis and treatment of disorders of the nervous system.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant access only to HHS scientists and their authorized collaborators.

Physical Safeguards: Records are kept in a locked room when not in use.

RETENTION AND DISPOSAL:

Records are retained in accordance with the NIH Records Control Schedule, item 3000-G-3. The records control schedule may be obtained by writing to the 10

Director, Fundamental Neurosciences Program, NINCDS

Federal Building, Room 120
7550 Wisconsin Ave
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Write to:
Head, Administrative Management
Section, NINCDS
Building 31, Room 8A47
9000 Rockville Pike
Bethesda, MD 20205

and ask if a file with your name exists in the Neural Prosthesis or Biomedical Engineering Studies.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to System Manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Patients, patients' families, hospital records and clinical investigators.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0129

SYSTEM NAME:

Clinical Research: Clinical Research Studies Dealing with Hearing, Speech, Language and Chemosensory Disorders, HHS/NIH/NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

National Institute of Neurological and Communicative Disorders and Stroke (NINCDS)
Federal Building, NIH

7550 Wisconsin Avenue
Bethesda, MD 20205

and at hospitals, medical centers, universities and educational settings under contract. Inactive records may be stored at a Federal Records Center. A list of locations is available upon request from the System Manager at the address below.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients and normal volunteers participating in clinical research studies dealing with hearing, speech, language and chemosensory disorders.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical findings, clinical research data, medical and educational histories and research data on the hearing, speech, language, cognition and chemosensory systems of subjects being tested.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289a, 289c.

PURPOSE(S):

Clinical research on the disorders of speech, language, and hearing to discover factors leading to these disorders and to improve prevention, diagnoses, and treatment.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public

Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are stored in file folders.

RETRIEVABILITY:

Name or identifier code.

SAFEGUARDS:

Employees who maintain the system are instructed to grant access only to the principal investigator and staff assigned to a particular project, and to other authorized personnel (project officer, contracting officer).

Physical Safeguards: Records are locked in cabinets when not in actual use and system location is locked during non-working hours.

Procedural Safeguards: Personnel having access to system are trained in Privacy Act requirements. Records are returned to locked file cabinets at end of working day.

RETENTION AND DISPOSAL:

Years at NIH: one year to indefinitely, depending on the requirements of the specific study. Following completion of a specific study all individual identification are removed, or the records destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Communicative Disorders
Program, NINCDS
Federal Building, NIH
7550 Wisconsin Avenue
Bethesda, Md. 20205

NOTIFICATION PROCEDURE:

Write to:

Head, Administrative Management
Section, NINCDS
Building 31, Room 8A47
9000 Rockville Pike
Bethesda, MD 20205

and ask if a file exists with your name in studies of Communication Disorders Program. Please supply the following information:

1. Approximate date and place of examination and/or treatment.
2. Name of the study, if known.

The requester must also verify his or her identity by providing either a notarization of the request or a written

certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to System Manager and reasonably identify the record, specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information provided by patients, patients' families, hospital records, school records, and clinical investigators.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0130

SYSTEM NAME:

Clinical Research Studies in the Division of Cancer Cause and Prevention, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Landow Building, Room 3C07
7910 Woodmont Ave.
Bethesda, Md. 20205

Landow Building, Room 5C16
7910 Woodmont Ave.
Bethesda, Md. 20205

Bldg. 12, NIH
9000 Rockville Pike
Bethesda, Md. 20205

and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating government agencies. A list of locations and contracts is available upon request from the System Manager. Write to System Manager at the address below for the address of the Federal Records Center where records are stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients with cancer and other environmentally or occupationally related diseases (e.g., birth defects, emphysema), patients with other diseases (e.g., heart disease), normal and other persons (e.g., family members) for the purpose of making comparisons.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical records, progress reports, correspondence, epidemiological computerized data, and records on biological specimens (e.g., blood, tumors, urine, etc.).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, and 282.

PURPOSE(S):

To determine: (1) factors or substances in the environment which cause cancer;

(2) ways in which these factors or substances may cause cancer;

(3) characteristics of persons who may be particularly susceptible to the environmental factor(s) or substance(s) and/or to cancer;

(4) research in the evaluation of secondary prevention or screening programs for cancer;

(5) statistical and epidemiological methodologies to study the natural history of cancers.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines

that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File folders, microfilm, charts, graphs, computer tapes, discs, and punch cards.

RETRIEVABILITY:

By name and/or code number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the System Manager.

Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

Procedural Safeguards: Access to manual files is granted only to authorized personnel (system manager, project officer, contracting officer, collaborating researchers, and HHS contractors). Access to computer files is controlled through security codes known only to authorized users.

RETENTION AND DISPOSAL:

One year to indefinitely depending on the project. Hard copy burned; computer tapes and discs erased.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Environmental Epidemiology Branch
National Cancer Institute
Landow Building, Room 3C29
7910 Woodmont Avenue
Bethesda, MD 20205

Mathematical Statistician Biometry Branch
National Cancer Institute
Landow Building, Room 5C16
7910 Woodmont Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a file exists, write to System Manager and provide the following information:

- System name: Clinical Research Studies in the Division of Cancer Cause and Prevention
- Complete name at time of study
- Facility and home address at the time the study was undertaken
- Date(s) at the time the information was provided (if known)
- Birthdate
- Disease type (if known)

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Write to System Manager and specify the record sought. The same information required above for notification is also needed for access.

CONTESTING RECORD PROCEDURES:

Write to System Manager and specify the record and the part(s) to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

HHS agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, research institutions, commercial

institutions, state agencies, other U.S. Government agencies, patients and normal volunteers, physicians, research investigators and other collaborating personnel.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0131

SYSTEM NAME:

Clinical Research: Clinical Epidemiologic Studies in the Division of Cancer Cause and Prevention, HHS/NIH/NCI.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Landow Building, Room A521
7910 Woodmont Ave.
Bethesda, Md. 20205
and
Bldg. 12, NIH
9000 Rockville Pike
Bethesda, Md. 20205

and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating government agencies. A list of locations and contracts is available upon request made to the System Manager.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients with cancer and related diseases, (e.g., birth defects), patients with other diseases (e.g., heart disease), normal and other persons (e.g., family members) for the purpose of making comparisons.

CATEGORIES OF RECORDS IN THE SYSTEM:

Medical records, progress reports, correspondence, epidemiological computerized data and records on biological specimens (e.g., blood, tumors, urine, etc.).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, and 282.

PURPOSE(S):

To determine: (1) factors or substances in the environment which cause cancer;

(2) ways in which these factors or substances may cause cancer;

(3) characteristics of persons who may be particularly susceptible to the environmental factor(s) or substance(s) and/or to cancer.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to comply with the Privacy Act with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File folders, microfilm, charts, graphs, computer tapes, discs, and punch cards.

RETRIEVABILITY:

By name and/or code number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to physicians, scientists and support staff of the National Cancer Institute whose

duties require the use of such information. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards: Records are kept in a limited access area. Offices are locked during off-duty hours. Input data for computer files is coded to avoid individual identification.

Procedural Safeguards: Access to manual files is granted only to authorized personnel (system manager, project officer, contracting officer, collaborating researchers, and HHS contractors). Data transmitted to the NCI are in a form which precludes individual identification. For computerized records the contractor is required to comply, where appropriate, with DHHS standards and National Bureau of Standards Guidelines. For example, access is controlled by the use of security codes known only to authorized personnel.

RETENTION AND DISPOSAL:

One year to indefinitely depending on the project. Hard copy burned; computer tapes and discs erased.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Clinical Epidemiology Branch
National Cancer Institute
Landow Building, Room 5A21
7910 Woodmont Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a file exists, write to System Manager and provide the following information:

- System name
- Complete name at time of study
- Facility and home address at the time the study was undertaken
- Date(s) at the time the information was provided (if known)
- Birthdate
- Disease type (if known)

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Medical Records: Individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual who would be willing to review the record and inform the subject

individual of its contents, at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Write to System Manager and specify the record sought. The same information required above for notification is also needed for access.

CONTESTING RECORD PROCEDURES:

Write to System Manager and specify the record and the part(s) to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

HHS agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, research institutions, commercial institutions, state agencies, other U.S. Government agencies, patients and normal volunteers, physicians, research investigators and other collaborating personnel.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0133

SYSTEM NAME:

Clinical Research: Kidney Transplant Histocompatibility Study (KTHS), HHS/NIH/NIAD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Records included in this system are located in hospitals, research foundations, and universities under contract, in Federal Records Centers and in the National Institute of Allergy and Infectious Diseases (NIAID) facilities in Bethesda, Maryland. Write to the System Manager at the address below for the addresses of current locations.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients who have received kidney transplants and donors of kidneys transplanted at participating institutions during the period January 1, 1974, through December 31, 1976.

CATEGORIES OF RECORDS IN THE SYSTEM:

Clinical and medical records containing information on clinical examinations, laboratory findings, and related research records. For kidney recipients, a demographic profile is also included.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(g) and 289c.

PURPOSE(S):

(1) To study the relevance of tissue typing to the outcome of kidney transplants.

(2) To study the influence of organ preservation techniques and various surgical and medical therapies on the outcome of kidney transplants.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

Certain infectious diseases are reported to State Governments as required by law.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File folders, punch cards, and magnetic tapes or discs.

RETRIEVABILITY:

Information is retrieved by name and location of study and by transplant number.

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access only to NIAID staff whose duties require the use of such information. Authorized users are located in the Genetics and Transplantation Biology Branch, Immunology and Allergic and Immunologic Diseases Program, NIAID.

Physical Safeguards: Records in this system are stored in locked cabinets. Access to the computer files is by key word.

Procedural Safeguards: Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employee. For computerized records, access is controlled by the use of security codes known only to authorized users.

RETENTION AND DISPOSAL:

Records are retained for five years to indefinitely, depending on the requirements of the study. Records are burned or erased.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Genetics and Transplantation Biology Branch, IAIDP
National Institute of Allergy and Infectious Diseases, NIH
Westwood Building, Room 752
5333 Westbard Avenue
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to:

Privacy Act Coordinator, NIAID
Westwood Building, Room 704
5333 Westbard Avenue
Bethesda, MD 20205

and provide the following information:

1. Full name
2. Name and location of clinical trial facility
3. Approximate dates of enrollment in the research study

The requester must also verify his or her identity by providing either a

notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate a responsible representative in writing who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedure. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to System Manager, and reasonably identify the record, and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information contained in these records is obtained directly from individual participants and from medical records and clinical research observations.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0134

SYSTEM NAME:

Clinical Research: Epidemiology Studies, National Institute of Environmental Health Sciences, HHS/NIH/NIEHS

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

National Institute of Environmental Health Services (NIEHS)
Biometry and Risk Assessment Program
P. O. Box 12233
Research Triangle Park
North Carolina 27709

and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating government agencies. Inactive records may be stored in a Federal Records Center. A list of locations and contracts is available upon request made to the System Manager.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Adults and minors, both male and female, with known or suspected diseases, maladies, chemical or biological contaminations, as well as normal or non-suspect individuals and minors in control or study groups for the purposes of comparison. Individuals included in this system of records normally have volunteered to participate in the study and voluntarily provided information for inclusion in the system. The participants may be, but are not limited to, patients; workers subject to specific environments; individuals selected because of social, nutritional, physical, genetic and economic conditions and behavioral characteristics; and members of the general population subject to the variety of contaminants present in the environment.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records pertinent to an individual's current health status: medical history; occupational history and work environments; and selected items of personal data such as smoking habits, family size, family medical history and domiciles. Examples of information which may be included in this system are name, Social Security Number, date of birth, weight, height, sex, race, medical history, blood type, laboratory results, examination findings, current and previous medications received, list of employers, descriptions of the work environment, substances or compounds routinely handled or exposed to, and a history of current and previous residences.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241.

PURPOSE(S):

National Institute of Environmental Health Sciences uses the data collected to:

1. Determine whether or not general conditions, chemicals and/or other substances found in the environment have effects on the health and well being of individuals or groups of individuals;

2. Determine how these conditions, chemicals or other substances, acting by themselves or in combination, produce adverse effects on health;

3. Identify individual or group characteristics that make a person susceptible to chemical contamination, disease or other adverse health effects from these environmental conditions or agents;

4. Determine whether there is a general or background level of exposure or other chemical effects in a local area, regional area, or nationally as well as within general or specific work environments;

5. Develop and/or validate epidemiologic or laboratory methods for detecting adverse effects due to environmental exposures;

6. Determine the scientific basis for advising regulatory agencies such as the Environmental Protection Agency, the National Institute of Occupational Safety and Health and the Department of Labor's Occupational Safety and Health Administration regarding the adverse health effects of substances and conditions found in the environment;

7. Determine the scientific basis for advising local, state, other governmental agencies and international governments regarding the adverse health effects of substances and conditions found in the environment;

8. Determine the scientific basis for advising the Congress, industry, workers, scientific or public agencies and other interested parties regarding the known or potential for adverse health effects from exposure to substances or conditions found in the environment.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a congressional office from the record of the individual in response to an inquiry from the congressional office, made at the request of the individual, and in the case of a minor, the minor's parent or legal guardian.

The Department contemplates that it will contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor shall be required to

comply with the Privacy Act with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Information is stored in one of a combination of the following mediums: file folders, data forms, punch card, magnetic tape discs.

RETRIEVABILITY:

Information is retrieved by personal identifier such as name or code number. Social security numbers which are supplied on a voluntary basis also are used for retrieval.

SAFEGUARDS:

Access to the information is controlled by the Project Officer or his representative at remote locations. Contractors or collaborating researchers, by formal agreement, comply with the provisions of the Privacy Act and Department regulations. Hard copy data is maintained in locked file cabinets at the National Institute of Environmental Health Sciences or remote study locations. Information stored in computer systems is accessible only through proper sequencing of signal commands and access codes specifically assigned to the Project Officer or contractor in accordance with Departmental standards and National Bureau of Standards guidelines. Subjects directly participating in studies are advised that their identity is known only to those persons involved in conducting

the study, and that any published findings will be in a format which precludes individual identification.

RETENTION AND DISPOSAL:

The records are maintained until they are no longer required for the research purpose(s) for which the record was established. The records are destroyed by shredding, burning, or other appropriate means so as to render them illegible. Computer tapes and discs are erased.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Biometry and Risk
Assessment Program
National Institute of Environmental
Health Sciences
P. O. Box 12233
Research Triangle Park
North Carolina 27709

NOTIFICATION PROCEDURE:

Normally, individuals would know whether a file existed on the basis of their voluntary participation and provision of data. However, individuals may write to the System Manager to determine if a file exists. In writing, they should provide the following data:

- Complete name at the time of the study.
- Birthdate.
- Home address at the time of the study.
- The facility where the examination was given or information otherwise collected.
- Date, or approximate dates when information was collected or an examination conducted.
- Name of study if known.
- A current name, address and telephone number where they can be reached.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical or dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's description.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a

family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

The same information as outlined under notification procedures is needed for access to records. The request should be addressed to the System Manager.

CONTESTING RECORD PROCEDURES:

Write to the System Manager and specify the record and the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

HHS agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, commercial, institutions, labor and trade organizations, State agencies, international agencies, foreign governments, other U.S. Government agencies, patients and normal volunteers, physicians, researchers and other collaborating personnel.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0135

SYSTEM NAME:

Grants: PROPHET System Applicants Research Prospectuses, HHS/NIH/DRR.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Bldg. 31, Rm. 6A06, NIH
9000 Rockville Pike
Bethesda, MD 20205

Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Applicants for access to the facilities and services of the PROPHET System, a unique national computer resource for the study of chemical/biological interrelationships.

CATEGORIES OF RECORDS IN THE SYSTEM:

(a) Descriptions of the research objectives of the applicant individuals or groups and their plans for use of the PROPHET system in support of their research; (b) biographical sketches of all key individuals associated with the prospectuses; (c) evaluation documents; (d) related correspondence

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241(a).

PURPOSE(S):

The system is used exclusively in support of the Chemical/Biological Information-Handling (CBIH) program management--i.e., technical merit review of prospectuses, allocation of PROPHET services, analysis and evaluation of ongoing activities, and program planning.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made:

Of assignments of research investigators and project monitors to specific research projects to the National Technical Information Service (NTIS), Department of Commerce, to contribute to the Smithsonian Science Information Exchange, Inc.

To the cognizant audit agency for auditing.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

To a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

To qualified experts not within the definition of Department employees as prescribed in Department Regulations for opinions as a part of the application review process.

To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal or policy limitations under which the

record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

To a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in a system. Relevant records will be disclosed to such a contractor. The contractor shall be required to comply with the Privacy Act with respect to such records.

To the grantee institution in connection with performance or administration under the terms and conditions of the award.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File folders.

RETRIEVABILITY:

System is indexed by name of principal individual associated with the prospectus and by program identification number.

SAFEGUARDS:

The records are maintained in a room where access is limited to authorized

personnel, i.e., system manager and staff, and review committee members.

RETENTION AND DISPOSAL:

Number of years held at NIH: 2.
Disposal methods include burning or shredding paper materials.

SYSTEM MANAGER(S) AND ADDRESS:

Program Director
Chemical/Biological Information-
Handling Program
Division of Research Resources
Bldg. 31, Rm. 6A-04
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to the Program Director, Chemical/Biological Information-Handling Program at address listed above and ask if a file exists with your name in the PROPHET System Research Prospectuses.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to System Manager and reasonably identify the record, specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

The information is provided by the individuals themselves and by NIH consultants who assess the scientific and technical merit of the prospectuses.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0138

SYSTEM NAME:

Biomedical Research: Studies of Possible Influence on Cognitive and Emotional Development of Children, HHS/NIH/NICHD

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

National Institute of Child Health and Human Development
Bldg. 31, Room B2B15
9000 Rockville Pike
Bethesda, MD 20205
NIH
Bldg. 12
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Adults and their children who have specifically agreed to participate in studies of the Social and Behavioral Sciences Branch.

CATEGORIES OF RECORDS IN THE SYSTEM:

Psychological tests, observations and parental responses to questionnaires and interviews regarding various aspects of the child's development.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 241, 289d.

PURPOSE(S):

To determine (1) prenatal and paranatal correlates of later development;
(2) possible environmental influences on later development;
(3) stability of development; and
(4) possible early predictors of later cognitive and emotional difficulties.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Certain infectious diseases are reported to state governments as required by law.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or

necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

File folders, microfiche, computer tapes and discs.

RETRIEVABILITY:

Identifier codes

SAFEGUARDS:

Authorized Users: Employees who maintain records in this system are instructed to grant regular access to scientists and support staff of the Child and Family Research Branch, NICHD.

Physical Safeguards: All records are kept in locked cabinets.

Procedural Safeguards: Records may be removed from files only at the request of the system manager or other authorized users. For computerized records, access is controlled by the use of security codes known only to authorized users.

RETENTION AND DISPOSAL:

One year to five years depending on the study. Hard copy shredded; computer tapes and discs erased.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Child and Family Research Branch
National Institute of Child Health and Human Development
Bldg. 31, Room B2B15
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a file exists, write to System Manager and provide the following information:

- System name
- Complete name at time of study
- Home address at time the study was undertaken
- Date(s) at the time information was provided (if known)
- Birth date

An individual who requests notification of or access to a medical record shall at the time the request is made designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of or access to a child's/

incompetent person's record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child/incompetent person as well as his/her own identity.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to System Manager and reasonably identify the record and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information provided by subjects, family, and clinical investigators.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0140

SYSTEM NAME:

International Activities: Scientific Visitors at the National Institutes of Health, HHS/NIH/FIC

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Fogarty International Center
Building 16
and
Division of Computer Research and Technology
Building 12
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20205

Ancillary records are located in laboratories where participants are assigned. Write to System Manager at the address below for the address of the Federal Records Center where records may be stored.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Health scientists (mainly foreign but

some resident aliens and U.S. citizens) at all levels of their postdoctoral careers who are invited to the National Institutes of Health campus for further training or to conduct research in their biomedical specialties.

CATEGORIES OF RECORDS IN THE SYSTEM:

History of fellowship, employment and/or stay at NIH, education and references. For payroll purposes, social security numbers are requested of all applicants accepted into the program.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 2421.

PURPOSE(S):

The program was established to facilitate the exchange of ideas among scientists at all levels of their postdoctoral research careers who spend from one to three years in the laboratories of NIH campus. Invitations are extended by the Directors of the institutes and other PHS agencies (FDA, ADAMHA).

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Information is made available to authorized employees and agents of the Federal Government for purposes of investigations, inspections and audits, and in appropriate cases, to the Department of Justice for prosecution under civil and criminal laws.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders and on file cards, magnetic tape and microfilm.

RETRIEVABILITY:

By name and country of citizenship.

SAFEGUARDS:

Authorized Users. Employees who maintain records in this system are instructed to grant regular access only to FIC program staff. Other one-time and special access by other employees is granted on a need-to-know basis as specifically authorized by the system manager.

Physical Safeguards. The records are maintained in locked file cabinets, and offices are locked during off-duty hours.

Procedural Safeguards. Access to files is strictly controlled by files staff. Records may be removed from files only at the request of the system manager or other authorized employees. For computerized records, access is controlled by the use of security codes known only to authorized users; access codes are changed periodically. The computer system maintains an audit record of all requests for access.

RETENTION AND DISPOSAL:

Records of successful applicants are retained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Foreign Scientists Assistance Branch
Fogarty International Center
Building 38A, Room B2N13
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

Requests for notification of or access to records should be addressed to the system manager as listed above.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Same as notification procedure. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the official listed under notification procedure above, and reasonably identify the record, and specify the information to be contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Applicants and persons supplying references.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0141

SYSTEM NAME:

Patient and Donor Records in the Blood Component Support Program for the Division of Cancer Treatment, HHS/NIH/NCL.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Clinical Center
Room 3B-15, Building 10
National Institutes of Health (NIH)
9000 Rockville Pike
Bethesda, MD 20205
Plateletpheresis Trailer, NIH
Reservation
9000 Rockville Pike
Bethesda, MD 20205
NIH Computer Center
Building 12
9000 Rockville Pike
Bethesda, MD 20205
UCLA Computer System
University of California, Los Angeles
1000 Veteran Avenue
Los Angeles, CA 90024

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients with cancer and normal volunteers with compatible HL-A blood types.

CATEGORIES OF RECORDS IN THE SYSTEM:

Blood cell types, donor and patient names, dates of sample collections, hospital numbers (i.e. NIH patient numbers), reaction notes and compatibility evaluation, sera.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Section 301, 401, PHS Act (42 U.S. Code 241, 282).

PURPOSE(S):

This system provides for serological matching of blood platelets between donor blood and that of cancer patients treated with cytotoxic drugs. These

drugs depress normal blood elements, including platelets. Infusion of platelets from normal donors prevents life-threatening hemorrhage.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors and collaborating researchers and their staffs for uses consistent with the purpose of this system of records. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to a Congressional Office from the record of an individual in response to an inquiry from the Congressional Office made at the request of that individual.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

File cards, computer tapes.

RETRIEVABILITY:

Donor names are retrieved by HL-A type, which is also listed for each patient. Patient records are retrieved by name or patient identification number.

SAFEGUARDS:

The identity of subjects participating in a clinical study is known only to those who are involved in conducting the study, and any published findings will be in a format which precludes individual identification.

Data are kept in secured areas with access limited to authorized personnel. Authorized users of the system include the Community Blood and Plasma Service's site manager or designate, the NCI project officer or designate, and principal investigator or designate at the University of California, Los Angeles, in whose laboratory all HL-A typings are

performed and whose laboratory maintains and generates a computer file.

Textual records are in locked containers. For computerized records, where appropriate, access is controlled by the use of security codes known only to authorized personnel; computer terminals are locked; access codes are changed frequently.

RETENTION AND DISPOSAL:

Records are retained and disposed of in accordance with NIH Records Control Schedule, items 3000-E-36, 3000-E-50 and 3000-E-51 (HHS Records Management Manual, Appendix B-361). A copy of the records control schedule may be obtained by writing to the system manager at the address below.

SYSTEM MANAGER(S) AND ADDRESS:

Head, Experimental Hematology
Section Pediatric Oncology Branch,
Division of Cancer Treatment
National Cancer Institute, NIH
Room 3B-15, Building 10
9000 Rockville Pike
Bethesda, MD 20205.

NOTIFICATION PROCEDURE:

To determine if a record exists write to System Manager and provide following information:

- System Name: Blood Component Support Program for the DCT, NCI.
- Complete name at time of study/donation.
- Facility and home address at time the study was undertaken.
- Date(s) when the information was provided.
- Birthdate.
- Disease type (if applicable).

(1) Non-medical Records: Write to the System Manager and provide identity verification consisting of either a notarization of the request or a certification that the individual is who he or she claims to be, and understands that the knowing and willful request for acquisition of a record pertaining to the individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

(2) Medical Records: In addition to the information requested above, individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual who would be willing to review the record and inform the subject individual of its contents, at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the system manager at the address above, specify the information being contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

HHS agencies, institutions under contract to the U.S. Government, universities, medical schools, hospitals, research institutions, commercial institutions, state agencies, other U.S. Government agencies, patients and blood donors, physicians, research investigators and other collaborating personnel.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0142

SYSTEM NAME:

Clinical Research: Records of Subjects in Intramural Research, Epidemiology, Demography and Biometry Studies on Aging, HHS/NIH/NIA.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Records included in this system are located in hospitals and clinics, research centers and research foundations, and in facilities of the National Institute on Aging (NIA) in Bethesda, MD. They may be stored at Federal Records Centers. A list of locations is available upon request from the System Manager.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Participants in these studies include: (1) individuals whose physical, genetic, social, psychological, cultural, economic, environmental, behavioral, pharmacological, or nutritional conditions or habits are studied in relationship to the normal aging process and/or diseases and other normal or abnormal physical or psychological conditions of the aged, and (2) normal volunteers who are participants in such studies.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of health, demographic, and statistical information resulting from or contained in research findings, medical histories, vital statistics, personal interviews, questionnaires, or direct observations. The system also includes records of

current addresses of study participants, fingerprints, and correspondence from or about participants in the studies. When supplied on a voluntary basis, Social Security numbers are also included.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Authority is provided by Sections 301, Research Contracting, and 463-4, Research on Aging Act of 1974, of the Public Health Service Act (42 U.S.C. Sections 241g, 289k-4, k-5).

PURPOSE(S):

The National Institute on Aging uses the data collected

1. in research projects on (a) the health status of individuals and changes in health status over time, (b) the incidence and prevalence of certain diseases and problems of the aged in certain populations, and (c) the changes that take place as individuals age;
2. and for program planning and evaluation.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Records may be disclosed to HHS contractors, collaborating researchers and their staffs in order to accomplish the basic research purpose of this system. The recipients are required to comply with the Privacy Act with respect to such records.

Data may be disclosed to organizations deemed qualified by the Secretary to carry out quality assessment, medical audits or utilization review.

A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining

such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Data may be stored in file folders, magnetic tapes or discs, punch cards, or bound notebooks. Stored data may include textual, photographic, X-ray, or other material.

RETRIEVABILITY:

Information is retrieved by personal identifiers such as name, code number and/or Social Security number, when this is supplied on a voluntary basis.

SAFEGUARDS:

Measures to prevent unauthorized disclosures are implemented as appropriate for each location and for the particular records maintained in each project. Each site implements personnel,

physical and procedural safeguards such as the following:

Authorized Users: Access is limited to principal investigators, collaborating researchers and necessary support staff.

Physical Safeguards: Hard copy data is be maintained in locked file cabinets. Information stored in computer systems is be accessible only through proper sequencing of signal commands and access codes specifically assigned to the Project Officer or contractor.

Procedural Safeguards: Access to the information is be controlled directly by the Project Officer or his or her representative at remote locations, and by the system manager at NIA locations. Contractors and collaborating researchers are notified that they are subject to the provisions of the Privacy Act, and are required to make formal agreements to comply with these provisions.

The particular safeguards implemented in each project are developed in accordance with chapter 45-13 and supplementing chapter PHS hf 45-13 of the HHS General

Administration Manual and part 6, ADP Systems Security, of the HHS ADP Systems Manual, and the National Bureau of Standards Federal Information Processing Standards (FIPS Pub. 41 and FIPS Pub. 31).

RETENTION AND DISPOSAL:

Records at contractor facilities are retained and disposed of under the specific terms established in each contract. Records at NIA facilities are retained and disposed of under the authority of the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361, item 3000-G-3). Write to the system manager for a copy of the authorized disposition.

SYSTEM MANAGER(S) AND ADDRESS:

Privacy Act Coordinator
National Institute on Aging
Building 31, NIH
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to the System Manager at the address above and provide the following information in writing:

1. Full name at time of participation in the study,
2. Date of birth,
3. Home address at the time of study,
4. The facility where the examination was given or where information was collected,
5. Approximate date or dates of participation,
6. Name of study, if known,

7. Current name, address and telephone number.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical or dental record shall, at the time the request is made, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's description.

RECORD ACCESS PROCEDURES:

Contact the system manager at the above address and provide the same information as outlined under the notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Contact the System Manager at the address above. The contestor must reasonably identify the record, specify in writing the information being contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information is obtained directly from individual participants and from medical and clinical research observations, or indirectly from existing source documents such as disease registries.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0143

SYSTEM NAME:

Biomedical Research: Records of Subjects in Clinical, Epidemiologic and Biometric Studies of the National Institute of Allergy and Infectious Diseases, HHS/NIH/NIAID.

SECURITY CLASSIFICATION:

None

SYSTEM LOCATION:

At National Institutes of Health facilities in Bethesda, Maryland, and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating Federal agencies. Inactive records may be retired to Federal

Records Centers. A list of locations is available upon request from the System Manager.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients with infectious diseases, immunologic diseases involving adverse reactions of the body (e.g., allergic reactions) and related diseases, normal healthy volunteers who serve as controls for comparison with patients, relatives of patients and other individuals whose characteristics or conditions are being studied for possible connections with the occurrence of the diseases under investigation.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of clinical, medical, and epidemiological information resulting from or contained in direct observations, medical records and other histories, vital statistics reports, records on biological specimens (e.g., blood, urine, etc.), personal interviews, questionnaires, progress reports, correspondence or research findings.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 301, Research and Investigation, and 431, Establishment of Institutes, of the Public Health Service Act (42 U.S.C 241, 289a).

PURPOSE(S):

This system supports
1. Epidemiologic, clinical and biometric investigations into the causes, nature (morbidity and mortality), outcome, therapy and cost of infectious, immunologic and related diseases;
2. Review and evaluation of the progress of these research projects, and identification of and planning for improvements or for additional research.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to comply with the Privacy Act with respect to these records.

Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal or

policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

The Department contemplates that it may contract with one or more private firms for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to comply with the Privacy Act with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such

individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice or other appropriate Federal agency to enable that agency to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Data may be stored in file folders, computer-accessible forms (e.g., tapes or discs), punch cards, bound notebooks, microfilm, charts, graphs, and X-rays.

RETRIEVABILITY:

Information is retrieved by name and/or participant identification number.

SAFEGUARDS:

Access to or disclosure of information is limited to collaborating researchers, contractors and NIAID employees who are involved in the conduct, support or review and evaluation of the research activities supported by this system. Contractors and collaborating researchers are required to comply with the provisions of the Privacy Act and with Department regulations.

Data are kept in secured areas (e.g. rooms which are locked when not in regular use, buildings with controlled access). Data stored in computer-accessible form is accessed through the use of key words known only to principal investigators or authorized personnel; all other information is stored in locked files.

These and other appropriate safeguards are implemented in each project in accordance with chapter 45-13 of the HHS General Administration Manual, supplementary chapter PHS hf. 45-13, and part 6, Systems Security, of the HHS ADP Systems Manual.

RETENTION AND DISPOSAL:

Records at contractor facilities are retained and destroyed according to the terms of the contract. Records at NIAID facilities are retained and destroyed in accordance with the authority provided in the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361), item 3000-G-3, which allows the records to be kept until the system manager determines that the data has no further value for scientific

research. Disposal methods include burning or shredding hard copy and erasing computer tapes and discs.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Epidemiology and Biometry
Section
National Institute of Allergy and
Infectious Diseases
Westwood Building, Room 739
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to
NIAID Privacy Act Coordinator
Room 704, Westwood Building
5333 Westbard Avenue
Bethesda, MD 20205

and provide the following information:

1. System name,
2. Complete name and home address at the time of the study,
3. Birthdate,
4. Facility conducting study,
5. Disease type (if known),
6. Approximate dates of enrollment in the research study.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, other health professional, or other responsible individual, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the system manager and reasonably identify the record, specify

the information being contested and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information contained in these records is obtained directly from individual participants, from physicians, research investigators and other collaborating persons and from medical records and clinical research observations at hospitals, HHS agencies, universities, medical schools, research institutions, commercial institutions, state agencies, collaborating Federal agencies.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None

09-25-0147

SYSTEM NAME:

Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Heart, Lung, and Blood Institute, HHS/NIH/NHLBI.

SECURITY CLASSIFICATION:

None

SYSTEM LOCATION:

Records in this system are located in National Institutes of Health (NIH) facilities in Bethesda, Maryland, or in facilities of contractors of the National Heart, Lung, and Blood Institute (NHLBI). Inactive records may be retired to Federal Records Centers. The address of the NIH office responsible for records in this system is that of the System Manager listed below. The addresses of current locations at contractor sites and Federal Records Centers may be obtained by writing to the System Manager.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals covered by the system may include (1) patients of NHLBI or in NHLBI-sponsored programs, (2) participants in research studies supported by NHLBI, (3) recipients of grants, fellowships, traineeships or other awards from NHLBI, (4) employees and consultants, (5) persons, such as researchers, health care professionals or patients, who use, receive or are aware of NHLBI programs and services, and (6) members of health professions or of the general public who provide opinions or suggestions for evaluating NHLBI programs and services.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records containing two general types of

information: (1) information identifying subject individuals, and (2) information which enables NHLBI to evaluate its programs and services.(1)

Identifying information usually consists of a name and address, but it might also include a patient identification number, grant number, Social Security Number, or other identifying number as appropriate to the particular group included in an evaluation study.(2)

Evaluative information varies according to the program which is being evaluated by a given study. Categories of evaluative information include personal and medical data on participants in clinical and research programs; publications, professional achievements and career history of employees, consultants and recipients of awards; and opinions and other information received directly from individuals in surveys and studies of NIH programs.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Authority for this system comes from the basic legislation which defines the mission of the National Heart, Lung, and Blood Institute (42 U.S.C. 229b, 241, 242l, 287 to 287i, 289l-1 to 289l-4).

PURPOSE(S):

This system supports evaluation of the methods, materials, activities and services used by NIH in fulfilling its legislated mandate to conduct and support biomedical research into the causes, prevention and cure of diseases, to support training of research investigators, and to support communication of biomedical information.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors and collaborating researchers, organizations, and state and local officials for the purpose of improving the effectiveness of NIH programs. The recipients will be required to comply with the provisions of the Privacy Act.

The Department contemplates that it may contract with one or more private firms for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to comply with the Privacy Act with respect to such records.

Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality

assessments, medical audits or utilization review.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Data may be stored in file folders, bound notebooks, or computer-accessible forms (e.g., tapes, discs or punch cards).

RETRIEVABILITY:

Information is retrieved by name and/or participant identification number.

SAFEGUARDS:

A variety of safeguards is implemented for the various sets of records included under this system according to the sensitivity of the data they contain. Information already in the public domain, such as titles and dates of publications, is not restricted. However, sensitive information such as personal or medical history or individually identified opinions, is protected according to the level of sensitivity of the data. Minimal safeguards for the protection of information which is not available to the general public include:

Authorized Users: Regular access to information is limited to NIH or to contractor employees and collaborating researchers who are conducting, reviewing or contributing to the evaluation study. Other special access is granted only on a case-by-case basis, consistent with the restrictions required by the Privacy Act (e.g., when disclosure is required by the Freedom of Information Act), as authorized by the system manager or designated responsible official.

Physical Safeguards: Records are stored in closed or locked containers, in areas which are not accessible to unauthorized users, and in facilities which are locked when not in use.

Procedural Safeguards: Access to records is controlled by responsible employees and is granted only to authorized individuals whose identities are properly verified. Data stored in computers is accessed only through the use of keywords known only to authorized personnel.

In addition, sensitive records are kept in locked metal filing cabinets or in a secured room or closed containers at all times when not in use; sensitive records are not left exposed to unauthorized persons at any time.

These practices are in compliance with the standards of chapter 45-13 of the HHS General Administration Manual, supplementary chapter PHS hf: 45-13, and Part 6, Systems Security, of the HHS ADP Systems Manual.

RETENTION AND DISPOSAL:

While reports, statistical compilations and final recommendations derived from the evaluation studies are permanent records which will be offered to the National Archives when 22 years old, individually identified records are kept for five years and then destroyed under the authority of the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361), item 1100-C-12. Disposal methods include burning or shredding hard copy and erasing computer tapes and discs.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Program Planning & Evaluation
Building 31, Room 5A03
National Heart, Lung, and Blood Institute (NHLBI)
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to:

NHLBI Privacy Act Coordinator
Building 31, Room 5A29
National Institutes of Health
Bethesda, MD 20205

Requesters must provide the following information:

1. Full name
2. Name and location of the evaluation study or other NHLBI program in which the requester participated
3. Approximate dates of participation

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, other health professional, or other responsible individual, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the System Manager and reasonably identify the record, specify the information being contested and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information contained in these records is obtained directly from individual participants, from other records maintained by the operating programs of NHLBI, its contractors, grantees or collaborating researchers, or from publicly available sources such as bibliographies.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0148

SYSTEM NAME:

Contracted and Contract-Related Research: Records of Subjects in Clinical, Epidemiological and Biomedical Studies of the National Institute of Neurological and Communicative Disorders and Stroke. HHS/NIH/NINCDS.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

At National Institutes of Health facilities in Bethesda, Maryland, and at hospitals, medical schools, universities, research institutions, commercial organizations, state agencies, and collaborating Federal agencies. Inactive records may be retired to Federal Records Centers. A list of locations is available upon request from the respective system managers of the subsystems included in this notice.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Patients with neurological diseases, communicative disorders, stroke, and related diseases; normal, healthy volunteers who serve as controls for comparison with patients; relatives of patients; and other individuals whose characteristics or conditions are suited for possible connections with the occurrence of the diseases under investigations. Subject individuals include both adults and children.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of clinical, biomedical, and epidemiological information resulting from or contained in direct observations, medical records and other histories, vital statistics reports, records on biological specimens (e.g., blood, urine, etc.), personal interviews, questionnaires, progress reports, correspondence, or research findings.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 241, Research and Investigation, and 289a, Establishment of Institutes, of the Public Health Service Act (42 U.S.C. 301, 431).

PURPOSE(S):

This system will be used to support (1) contracted and contract-related epidemiological, clinical and biometric investigations into the causes, nature, outcome, therapy, prevention and cost of neurological and communicative disorders and stroke;

(2) review and evaluation of the progress of these research projects, and identification and planning for improvements or for additional research.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors, grantees and collaborating researchers and their staff in order to accomplish the research purpose for which the records are collected. The recipients are required to maintain Privacy Act safeguards with respect to these records.

Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

A record may be disclosed for a research purpose, when the Department:

(A) has determined that the use or disclosure does not violate legal or policy limitations under which the record was provided, collected, or obtained;

(B) has determined that the research purpose (1) cannot be reasonably accomplished unless the record is provided in individually identifiable form, and (2) warrants the risk to the privacy of the individual that additional exposure of the record might bring;

(C) has required the recipient to (1) establish reasonable administrative, technical, and physical safeguards to prevent unauthorized use or disclosure of the record, (2) remove or destroy the information that identifies the individual

at the earliest time at which removal or destruction can be accomplished consistent with the purpose of the research project, unless the recipient has presented adequate justification of a research or health nature for retaining such information, and (3) make no further use or disclosure of the record except (a) in emergency circumstances affecting the health or safety of any individual, (b) for use in another research project, under these same conditions, and with written authorization of the Department, (c) for disclosure to a properly identified person for the purpose of an audit related to the research project, if information that would enable research subjects to be identified is removed or destroyed at the earliest opportunity consistent with the purpose of the audit, or (d) when required by law;

(D) has secured a written statement attesting to the recipient's understanding of, and willingness to abide by these provisions.

The Department contemplates that it may contract with a private firm for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to comply with the Privacy Act with respect to such records.

In the event of litigation where the defendant is (a) the Department, any component of the Department, or any employee of the Department in his or her official capacity; (b) the United States where the Department determines that the claim, if successful, is likely to directly affect the operations of the Department or any of its components; or (c) any Department employee in his or her individual capacity where the Justice Department has agreed to represent such employee, for example in defending against a claim based upon an individual's mental or physical condition and alleged to have arisen because of activities of the Public Health Service in connection with such individual, the Department may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided that such disclosure is compatible with the purpose for which the records were collected.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Data may be stored in file folders, computer-accessible forms (e.g., tapes or discs), punched cards, bound notebooks, microfilm, charts, graphs and X-rays.

RETRIEVABILITY:

Information is retrieved by name and/or patient identification number.

SAFEGUARDS:

Access to or disclosure of information is limited to collaborating researchers, contractors and employees, and other authorized biomedical researchers who are involved in the conduct, support or review and evaluation of the research activities supported by this system. Contractors and collaborating or other researchers are required to comply with the provisions of the Privacy Act and with HHS Privacy Act regulations.

Data are kept in secured areas (e.g., rooms which are locked when not in regular use, buildings with controlled access). Data stored in computer-accessible form is accessed through the use of key words known only to principal investigators or authorized personnel; all other information is stored in locked files.

These and other appropriate safeguards are implemented in each project in accordance with chapter 45-13 of the HHS General Administration Manual, supplementary chapter PHS hf. 45-13, and Part 6, Systems Security, of the HHS ADP Systems Manual.

RETENTION AND DISPOSAL:

Records at contractor facilities are retained and destroyed as specified in individual contracts. Records at NIH facilities are retained and destroyed in accordance with the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361), item 3000-G-3, which allows the records to be kept until the system manager determines that the data has no further value for scientific research. Disposal methods include burning or shredding hard copy and erasing computer tapes and discs.

SYSTEM MANAGER(S) AND ADDRESS:

NINCDS research activities are divided, functionally and administratively, into five programs and one office. In effect, there are six subsystems within this single umbrella system. System Managers have been designated for each subsystem as follows:

Chief, Office of Biometry and Field Studies

Federal Building, Room 7A12
7550 Wisconsin Avenue
Bethesda, MD 20205

Director, Communicative Disorders Program

Federal Building, Room 1C11
7550 Wisconsin Avenue
Bethesda, MD 20205

Director, Fundamental Neurosciences Program

Federal Building, Room 916
7550 Wisconsin Avenue
Bethesda, MD 20205

Director, Neurological Disorders Program

Federal Building, Room 716
7550 Wisconsin Avenue
Bethesda, MD 20205

Director, Stroke and Trauma Program

Federal Building, Room 8A08
7550 Wisconsin Avenue
Bethesda, MD 20205

Director, Intramural Research Program

NIH Building 36, Room 5A05
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to

NINCDS Privacy Act Coordinator
Federal Building, Room 816
7550 Wisconsin Avenue
Bethesda, MD 20205

and provide the following information:

1. system name,
2. complete name and home address at the time of the study,
3. birthdate,
4. facility conducting the study,
5. disease type (if known),
6. approximate dates of enrollment in the research study.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

Individuals seeking notification of or access to medical records should designate a representative (including address) who may be a physician, other health professional, or other responsible individual, who would be willing to review the record and inform the subject

individual of its contents, at the representative's discretion.

A parent or guardian who requests notification of, or access to, a child's or incompetent person's medical record shall designate a family physician or other health professional (other than a family member) to whom the record, if any, will be sent. The parent or guardian must verify relationship to the child or incompetent person as well as his or her own identity.

RECORD ACCESS PROCEDURES:

Same as notifications procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the appropriate system manager and reasonably identify the record, specify the information being contested and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information in these records is obtained directly from individual participants, and from physicians, research investigators and other collaborating persons, and from medical records and clinical research observations at hospitals, HHS agencies, universities, medical schools, research institutions, commercial institutions, state agencies, and collaborating Federal agencies.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0149

SYSTEM NAME:

Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Institute of General Medical Sciences, HHS/NIH/NIGMS.

SECURITY CLASSIFICATION:

None

SYSTEM LOCATION:

Records in this system are located in National Institutes of Health (NIH) facilities in Bethesda, Maryland, or in facilities of contractors of the National Institute of General Medical Sciences (NIGMS). Inactive records may be retired to Federal Records Centers. The address of the NIH office responsible for records in this system is that of the system manager listed below. The addresses of current locations at contractor sites and Federal Records Centers may be obtained by writing to the System Manager.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals covered by the system may include (1) patients of NIGMS or in NIGMS-sponsored programs, (2) participants in research studies supported by NIGMS, (3) recipients of grants, fellowships, traineeships or other awards from NIGMS, (4) employees and consultants, (5) persons, such as researchers, health care professionals or patients, who use, receive or are aware of NIGMS programs and services, and (6) members of health professions or of the general public who provide opinions or suggestions for evaluating NIGMS programs and services.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records containing two general types of information: (1) information identifying subject individuals, and (2) information which enables NIGMS to evaluate its programs and services.

(1) Identifying information usually consists of a name and address, but it might also include a patient identification number, grant number, Social Security Number, or other identifying number as appropriate to the particular group included in an evaluation study.

(2) Evaluative information varies according to the program which is being evaluated by a given study. Categories of evaluative information include personal and medical data on participants in clinical and research programs; publications, professional achievements and career history of employees, consultants and recipients of awards; and opinions and other information received directly from individuals in surveys and studies of NIH programs.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Authority for this system comes from the basic legislation which defines the mission of the National Institute of General Medical Sciences (42 U.S.C. 229b, 241, 242l, 289e, 289g, 289l-1 to 289l-4, 300b-1, 300d-21).

PURPOSE(S):

This system supports evaluation of the methods, materials, activities and services used by NIH in fulfilling its legislated mandate to conduct and support biomedical research into the causes, prevention and cure of diseases, to support training of research investigators, and to support communication of biomedical information.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors and collaborating researchers, organizations, and state and local officials for the purpose of improving the effectiveness of NIH programs. The recipients will be required to comply with the Privacy Act.

The Department contemplates that it may contract with one or more private firms for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to comply with the Privacy Act with respect to such records.

Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Data may be stored in file folders, bound notebooks, or computer-accessible forms (e.g. tapes, discs or punched cards).

RETRIEVABILITY:

Information is retrieved by name and/or participant identification number.

SAFEGUARDS:

A variety of safeguards is implemented for the various sets of records included under this system according to the sensitivity of the data they contain. Information already in the public domain, such as titles and dates of publications, is not restricted. However, sensitive information, such as personal or medical history or individually identified opinions, is protected according to the level of sensitivity of the data.

Minimal safeguards for the protection of information which is not available to the general public include:

Authorized Users: Regular access to information is limited to NIH or to contractor employees and collaborating researchers who are conducting, reviewing or contributing to the evaluation study. Other special access is granted only on a case-by-case basis, consistent with the restrictions required by the Privacy Act (e.g., when disclosure is required by the Freedom of

Information Act), as authorized by the system manager or designated responsible official.

Physical Safeguards: Records are stored in closed or locked containers, in areas which are not accessible to unauthorized users, and in facilities which are locked when not in use.

Procedural Safeguards: Access to records is controlled by responsible employees and is granted only to authorized individuals whose identities are properly verified. Data stored in computers is accessed only through the use of keywords known only to authorized personnel.

In addition, sensitive records are kept in locked metal filing cabinets or in a secured room or closed containers at all times when not in use; sensitive records are not left exposed to unauthorized persons at any time.

These practices are in compliance with the standards of chapter 45-13 of the HHS General Administration Manual, supplementary chapter PHS hf: 45-13, and Part 6, Systems Security, of the HHS ADP Systems Manual.

RETENTION AND DISPOSAL:

While reports, statistical compilations and final recommendations derived from the evaluation studies are permanent records which will be offered to the National Archives when 22 years old, individually identified records are kept for five years and then destroyed under the authority of the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361), item 1100-C-12. Disposal methods include burning or shredding hard copy and erasing computer tapes and discs.

SYSTEM MANAGER(S) AND ADDRESS:

Health Science Administrator
Cellular and Molecular Basis of
Disease Program
National Institute of General Medical
Sciences (NIGMS)
Westwood Building, Room 907
Bethesda, MD 20205
Chief, Office of Program Analysis
National Institute of General Medical
Sciences (NIGMS)
Westwood Building, Room 9A18
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to:

NIGMS Privacy Act Coordinator
Westwood Building, Room 9A10
National Institutes of Health
Bethesda, MD 20016

Requesters must provide the following information:

1. Full name

2. Name and location of the evaluation study or other NIGMS program in which the requester participated

3. Approximate dates of participation
The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, other health professional, or other responsible individual, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the System Manager and reasonably identify the record, specify the information being contested and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information contained in these records is obtained directly from individual participants, from other records maintained by the operating programs of NIGMS, its contractors, grantees or collaborating researchers, or from publicly available sources such as bibliographies.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0150

SYSTEM NAME:

Records of Participants in Programs and Respondents in Surveys Used to Evaluate Programs of the National Institute of Environmental Health Sciences, HHS/NIH/NIEHS.

SECURITY CLASSIFICATION:

None

SYSTEM LOCATION:

Records in this system are located in National Institutes of Health (NIH) facilities in Research Triangle Park,

North Carolina, or in facilities of contractors of the National Institute of Environmental Health Sciences (NIEHS). Inactive records may be retired to Federal Records Centers. The address of the NIH office responsible for records in this system is that of the System Manager listed below. The addresses of current locations at contractor sites and Federal Records Centers may be obtained by writing to the System Manager.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals covered by the system may include (1) patients of NIEHS or in NIEHS-sponsored programs, (2) participants in research studies supported by NIEHS, (3) recipients of grants, fellowships, traineeships or other awards from NIEHS, (4) employees and consultants, (5) persons, such as researchers, health care professionals or patients, who use, receive or are aware of NIEHS programs and services, and (6) members of health professions or of the general public who provide opinions or suggestions evaluating NIEHS programs and services.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records containing two general types of information: (1) information identifying subject individuals, and (2) information which enables NIEHS to evaluate its programs and services.

(1) Identifying information usually consists of a name and address, but it might also include a patient identification number, grant number, Social Security Number, or other identifying number as appropriate to the particular group included in an evaluation study.

(2) Evaluative information varies according to the program which is being evaluated by a given study. Categories of evaluative information include personal and medical data on participants in clinical and research programs; publications, professional achievements and career history of employees, consultants and recipients of awards; and opinions and other information received directly from individuals in surveys and studies of NIH programs.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Authority for this system comes from the basic legislation which defines the mission of the National Institute of Environmental Health Sciences (42 U.S.C. 229b, 241, 242l, 289l-1 to 289l-4, 15 U.S.C. 793).

PURPOSE(S):

This system supports evaluation of the methods, materials, activities and services used by NIH in fulfilling its legislated mandate to conduct and support biomedical research into the causes, prevention and cure of diseases, to support training of research investigators, and to support communication of biomedical information.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made to HHS contractors and collaborating researchers, organizations, and state and local officials for the purpose of improving the effectiveness of NIH programs. The recipients will be required to comply with the Privacy Act.

The Department contemplates that it may contract with one or more private firms for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. Relevant records will be disclosed to such a contractor. The contractor will be required to comply with the Privacy Act with respect to such records.

Disclosure may be made to organizations deemed qualified by the Secretary to carry out quality assessments, medical audits or utilization review.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Data may be stored in file folders, bound notebooks, or computer-accessible forms (e.g., tapes, discs or punched cards).

RETRIEVABILITY:

Information is retrieved by name and/or participant identification number.

SAFEGUARDS:

A variety of safeguards is implemented for the various sets of records included under this system according to the sensitivity of the data they contain. Information already in the public domain, such as titles and dates of publications, is not restricted. However, sensitive information such as personal or medical history or individually identified opinions, is protected according to the level of sensitivity of the data.

Minimal safeguards for the protection of information which is not available to the general public include:

Authorized Users: Regular access to information is limited to NIH or to contractor employees and collaborating researchers who are conducting, reviewing or contributing to the evaluation study. Other special access is granted only on a case-by-case basis, consistent with the restrictions required by the Privacy Act (e.g., when disclosure is required by the Freedom of Information Act), as authorized by the System Manager or designated responsible official.

Physical Safeguards: Records are stored in closed or locked containers, in areas which are not accessible to unauthorized users, and in facilities which are locked when not in use.

Procedural Safeguards: Access to records is controlled by responsible employees and is granted only to authorized individuals whose identities are properly verified. Data stored in computers is accessed only through the use of key words known only to authorized personnel.

In addition, sensitive records are kept in locked metal filing cabinets or in a secured room or closed containers at all times when not in use; sensitive records are not left exposed to unauthorized persons at any time.

These practices are in compliance with the standards of chapter 45-13 of the HHS General Administration Manual, supplementary chapter PHS hf: 45-13, and Part 6, Systems Security, of the HHS ADP Systems Manual.

RETENTION AND DISPOSAL:

While reports, statistical compilations and final recommendations derived from the evaluation studies are permanent records which will be offered to the National Archives when 22 years old, individually identified records are kept for five years and then destroyed under the authority of the NIH Records Control Schedule (HHS Records Management Manual, Appendix B-361), item 1100-C-12. Disposal methods include burning or shredding hard copy and erasing computer tapes and discs.

SYSTEM MANAGER(S) AND ADDRESS:

Program Analyst
Office of Program Planning and Evaluation
National Institute of Environmental Health Sciences (NIEHS)
P. O. Box 12233
Research Triangle Park, N.C. 27709

NOTIFICATION PROCEDURE:

To determine if a record exists, write to:

Program Analyst
Office of Program Planning and
Evaluation
National Institute of Environmental
Health Sciences (NIEHS)
P. O. Box 12233
Research Triangle Park, N.C. 27709

Requesters must provide the following information:

1. Full name
2. Name and location of the evaluation study or other NIEHS program in which the requester participated
3. Approximate dates of participation

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

An individual who requests notification of or access to a medical record shall, at the time the request is made, designate in writing, a responsible representative, who may be a physician, other health professional, or other responsible individual, who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the System Manager and reasonably identify the record, specify the information being contested and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information contained in these records is obtained directly from individual participants, from other records maintained by the operating programs of NIEHS, its contractors, grantees or collaborating researchers, or from publicly available sources such as bibliographies.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-25-0151

SYSTEM NAME:

Administration: Alert Records
Concerning Investigations or
Determinations of Misconduct by
Current or Potential Recipients of Funds
for Biomedical Research, HHS/NIH/OD.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Division of Management Survey and
Review
Building 31
Office of Extramural Research and
Training
Building 1
National Institutes of Health (NIH)
9000 Rockville Pike
Bethesda, MD 20205

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Recipients or possible recipients of research funding who are subjects of investigations or determinations of misconduct.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of information related to investigations or determinations of misconduct.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Authority for this system comes from the legislation which authorizes NIH to award grants and contracts for biomedical research and from NIH's concomitant responsibility to assure that funds disbursed for grants and contracts are spent for authorized purposes and that recipients of such funds conform to all appropriate laws and regulations. (Public Health Service Act, 42 U.S.C. 241, 242 I, 275 et seq., 281 et seq.).

PURPOSE(S):

NIH maintains this system in order to make informed decisions on appropriate actions regarding awards of research funds to individuals who are or have been subjects of investigations or determinations of misconduct. The records may be used as follows:

1. The Associate Director for Extramural Research and Training, NIH, the Directors of bureaus, institutes or divisions of NIH, or the designees of these officials may use information from this system when considering whether it is appropriate to fund research by a subject individual.

2. These officials may disclose information, when appropriate, to members of the National Advisory Council or Board of the bureau, institute

or division, when the Board or Council considers actual or proposed funding of research by such an individual.

3. Members of technical merit review groups may receive disclosures of factual information (a) if the disclosure bears directly on the scientific merit of an application or proposal under review, or (b) if disclosure is necessary to ensure an unbiased review when information concerning the conduct in question has been disclosed by other sources, such as coverage in the press.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

To qualified experts not within the definition of Department employees as prescribed in Department Regulations for opinions as a part of the application review process.

To a Federal agency, in response to its request, in connection with the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision in the matter.

In the event the Department deems it desirable or necessary, in determining whether particular records are required to be disclosed under the Freedom of Information Act, disclosures may be made to the Department of Justice for the purpose of obtaining its advice.

Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**STORAGE:**

Records are stored in file folders.

RETRIEVABILITY:

Records are retrieved by name.

SAFEGUARDS:

Authorized Users: Records are available only to the System Manager or the Associate Director for Extramural Research and Training, NIH, to the Director of the bureau, institute or division of NIH which has funded or is considering funding research by a subject individual, or to the designee(s) of these officials. These officials may disclose information to members of National Advisory Councils, Boards, or technical merit review groups only when such disclosure is relevant and necessary to review of research funding. Any disclosure to other individuals must be authorized by the system manager.

Procedural Safeguards: Access to records is strictly controlled by the system manager and the officials specified under 'Authorized Users.' Individuals who receive disclosures from this system are informed that the information is confidential. They are instructed to address all questions and inquiries either to the System Manager, the Associate Director for Extramural Research and Training, NIH, or to the Director of the bureau, institute or division for reply.

Physical Safeguards: Records are kept in locked file cabinets in offices which are locked when not attended.

These measures follow the standards established in chapter 45-13 of the HHS General Administration Manual and supplementary chapter PHS hf: 45-13.

RETENTION AND DISPOSAL:

Indefinite.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Division of Management
Survey and Review
National Institutes of Health
Building 31, Room 4C02
9000 Rockville Pike
Bethesda, MD 20205

NOTIFICATION PROCEDURE:

To determine if a record exists, write to the System Manager at the address above; provide your full name and state that the inquiry concerns Privacy Act system of records number 09-25-0151.

The requester must also verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:

Write to the System Manager at the address above and provide the same information as required for notification. Requesters should also reasonably specify the record contents being sought.

CONTESTING RECORD PROCEDURES:

Write to the System Manager and reasonably identify the record, specify the information being contested, and state the corrective action sought and the reasons for the correction, with supporting justification.

RECORD SOURCE CATEGORIES:

Information in these records is obtained from organizations responsible for investigations, from third parties who voluntarily submit unsolicited information, and from the media.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

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BILLING CODE 4140-01-T