

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

13 U.S.C. 142.

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

These data maintained by the Bureau of the Census are used solely for statistical purposes and are confidential under 13 U.S.C. 8 and 9. Publications of the Bureau do not contain data that could identify any particular establishment or individual.

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

Magnetic tape, microform, paper hard copy.

**RETRIEVABILITY:**

Retrieved by unique serial identification numbers internal to the Bureau.

**SAFEGUARDS:**

All employees are subject to the restrictions penalties, and prohibitions of Title 13, U.S.C. Employees are also regularly advised of the regulations issued pursuant to Title 13, governing the confidentiality of the data.

**RETENTION AND DISPOSAL:**

Retention and disposal practices are in accordance with approved General Services Administration schedules. Generally, records are retained for periods of 5 to 11 years, unless a longer period is necessary for statistical purposes or for permanent archival retention.

**SYSTEM MANAGER(S) AND ADDRESS:**

Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C., 552 a(k)(4), this record is exempted from the notification, access and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as the data are maintained by the Bureau of the Census solely as statistical records as required under Title 13 U.S.C. and are not used in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance with agency rules published in 15 CFR Part 4b.

**COMMERCE/CENSUS-2****SYSTEM NAME:**

Employee Productivity Measurement Records—COMMERCE/CENSUS-2.

**SYSTEM LOCATION:**

Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and Bureau of the Census, 1201 East 10th Street, Jeffersonville, Indiana 47103 and Bureau of the Census, Personal Census Service Branch, Pittsburg, Kansas 66762. Also at the following Census Regional Offices: 1365 Peachtree Street NE., Atlanta, Georgia 30309; 441 Stuart Street, Boston, Massachusetts 02116; 230 S. Tryon Street, Charlotte, North Carolina 28202; 55 E. Jackson Boulevard, Suite 1304, Chicago, Illinois 60604; 1100 Commerce Street, Dallas, Texas 75242; 575 Union Boulevard, P.O. Box 25207, Denver, Colorado 80225; 231 W. Lafayette, RM 565, Detroit, Michigan 48226; One Gateway Center, 4th and State Streets, Kansas City, Kansas 66101; 11777 San Vicente Boulevard, Los Angeles, California 90049; 26 Federal Plaza, New York, New York 10278; 600 Arch Street, Philadelphia, Pennsylvania 19106; 1700 Westlake Avenue, Seattle, Washington, 98109. Also at the following processing offices: Bureau of the Census, Laguna Niguel Processing Office, Chet Holifield Building, 24000 Avila Road, Laguna Niguel, California 92677 and Bureau of the Census, New Orleans Processing Office, Michoud Assembly Facility, Building 350-2W, 13800 Old Gentilly Road, New Orleans, Louisiana 70129.

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

Census employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, employee number, rate of pay, supervisor, organization unit, location, type of work performed, time work accomplished, work units processed, production standard and percent performance, number and types of errors and error rates, work units accepted and rejected, and similar information on employee and work group productivity.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

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

See routine use paragraphs 1-5 and 8-13 in the Prefatory Statement.

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

Magnetic tape, paper copy, microform.

**RETRIEVABILITY:**

Retrieved by name or employee number and/or program or interviewer code.

**SAFEGUARDS:**

Tape under ADP security, sensitive material is held in locked file cabinets.

**RETENTION AND DISPOSAL:**

Records retained for 5 years.

**SYSTEM MANAGER(S) AND ADDRESS:**

Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

**NOTIFICATION PROCEDURE:**

Information may be obtained from same address as stated in the system manager section above. Requester should provide name, employee number and/or program or interviewer code, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals, timekeepers, supervisors, managers, and those authorized by the individuals to furnish information.

**COMMERCE/CENSUS-3****SYSTEM NAME:**

Individual and Household Statistical Surveys and Special Studies Records—COMMERCE/CENSUS-3.

**SYSTEM LOCATION:**

Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and Bureau of the Census, 1201 East 10th Street, Jeffersonville, Indiana 47103 and National Archives and Records Service, Washington National Records Center, Washington, D.C. 20409.

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

Individuals designated for statistical sample surveys and special studies.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Age, sex, race, education, marital status, residence, family income, birth expectations, employment, ethnic origin, relationship to head of household, mobility status, and similar social, economic, and demographic characteristics of individuals.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

12 U.S.C. 17012-1, 2(f) and 2(g); 13 U.S.C. 6, 8, 9, 41, 89, 101, 141, 181, 195, and 301; 15 U.S.C. 772; 16 U.S.C. 742d(4) and (5); 23 U.S.C. 134, 307, and 307a; 29 U.S.C. 1 and 9; 31 U.S.C. 686; 42 U.S.C. 242c, 242k, 282(5), 902, 1395 11(a), 1862, 2825, and 3732; and 49 U.S.C. 1605.

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

(1) Identifiable data from records not protected by 13 U.S.C. 9, received from State and local units of government responsible for administering Comprehensive Employment and Training Act funds and from individual respondents pursuant to the Longitudinal Manpower Survey authorized by 29 U.S.C. 881(c) and 883, may be furnished to the Social Security Administration solely for the purpose of obtaining further identifiable data for statistical use in the Survey. The data provided are: social security number, name, month and year of birth, race and sex. No determinations affecting individual respondents are made as a result of this routine use. (2) Publications resulting from the use of the records in this system do not contain data that could identify any particular establishment or individual.

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

Paper copy, punch card, magnetic tape, and microfilm.

**RETRIEVABILITY:**

Unique serial identification numbers internal to the Bureau of the Census.

**SAFEGUARDS:**

All employees are subject to the restrictions, penalties, and prohibitions of Title 13, U.S.C. Employees are also regularly advised of the regulations issued pursuant to Title 13, U.S.C. governing the confidentiality of the data.

**RETENTION AND DISPOSAL:**

Retention and disposal practices are in accordance with approved GSA schedules. Generally, records are retained for periods of 5 to 7 years, unless a longer period is necessary for statistical purposes or for permanent archival retention.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C., 552a(k)(4), this record is exempted from the notification, access and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as the data are maintained by the Bureau of the Census solely as statistical records as required under Title 13 U.S.C. and are not used in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance to agency rules published in the rules section of this Federal Register.

**COMMERCE/CENSUS-4****SYSTEM NAME:**

Minority-Owned Business Enterprises Survey Records—COMMERCE/CENSUS-4.

**SYSTEM LOCATION:**

National Archives and Records Service, Washington National Records Center, Washington, D.C. 20409 and General Services Administration, Federal Records Center, Suitland, Maryland 20233 and Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

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

Female and minority persons who are sole proprietors, partners, or shareholders of small business corporations.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, social security number, sex, race, whether Spanish surname, receipts of business, geographic area, legal form of business. Name and social security number are deleted from partners and stockholders once other data are coded. Data include number, geographic dispersion, and economic characteristics of minority business enterprises.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

13 U.S.C. 131 and 132.

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

These data maintained by the Bureau of the Census are used solely for statistical purposes. Publications do not contain data that could identify any particular establishment or individual.

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

Paper copy and magnetic tape.

**RETRIEVABILITY:**

Filed by name and social security number.

**SAFEGUARDS:**

All employees are subject to the restrictions, penalties, and prohibitions of Title 13, U.S.C. Employees are also regularly advised of the regulations issued pursuant to Title 13, U.S.C. governing the confidentiality of the data.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(4), this record is exempted from the notification, access and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as the data are maintained by the Bureau of the Census solely as statistical records as required under Title 13 U.S.C. and are not used in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance to agency rules published in the rules section of this Federal Register.

**COMMERCE/CENSUS-5****SYSTEM NAME:**

Population and Housing Census Records of the 1960 and subsequent Censuses—COMMERCE/CENSUS-5.

**SYSTEM LOCATION:**

Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and Bureau of the Census 1201 East 10th Street, Jeffersonville, Indiana 47103.

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

All persons counted during the Censuses of Population and Housing taken in 1960 and later.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records contain population information on age; sex; race or color; Marital status and family relationships; citizenship and ethnic origin; education and veteran status, income, occupation and employment; and housing information on occupancy, vacancy, utilization, plumbing, structural and financial characteristics and equipment, fuels and appliances, and similar social, economic, and demographic characteristics.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

13 U.S.C. 141.

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

These records are maintained and used solely for statistical purposes and are confidential under 13 U.S.C. 8 and 9. Publications do not contain data that could identify any particular establishment or individual.

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

Microform, paper copy, magnetic tape, punch cards.

**RETRIEVABILITY:**

Information is retrieved by the use of unique serial identification numbers internal to the Bureau of the Census.

**SAFEGUARDS:**

All employees are subject to the restrictions, penalties, and prohibitions of Title 13, U.S.C. employees are also regularly advised of the regulations issued pursuant to title 13, U.S.C. governing the confidentiality of the data.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C., 552a(k)(4), this record is exempted from the notification, access and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and

(I), and (f)). This exemption is applicable as data are maintained by the Bureau of the Census solely as statistical records as required under title 13 U.S.C. and are not used in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance to agency rules published in the rules section of this Federal Register.

**COMMERCE/CENSUS-6****SYSTEM NAME:**

Population Census Personal Service Records for 1900 and All Subsequent Decennial Censuses—COMMERCE/CENSUS-6.

**SYSTEM LOCATION:**

Bureau of the Census, Personal Census Services Branch, Pittsburg, Kansas 66762.

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

All persons ever counted during decennial censuses of population (1900-1970).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, address, relationship to head of household, date of birth, marital status, occupation and education data, race of household members, and other similar characteristics as reported in each census.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

13 U.S.C. 8.

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

These records may be considered as statistical records pursuant to 5 U.S.C. 552(a), as they were originally collected for statistical purposes, and are now maintained to perform searches at the request of subject individual under procedures published in the 15 CFR Part 60 and in accordance with 13 U.S.C. 8 to provide proof of age, citizenship, proof of relationship, and limited use for genealogical purposes.

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

Microform.

**RETRIEVABILITY:**

Indexed by numerical coding of surname on SOUNDINDEX system and by township, county, and state.

**SAFEGUARDS:**

All employees are subject to the restrictions, penalties, and prohibitions of Title 13, U.S.C. Employees are also

regularly advised of the regulations issued pursuant to Title 13, U.S.C. governing the confidentiality of the data.

**RETENTION AND DISPOSAL:**

Records are retained indefinitely.

**SYSTEM MANAGER(S) AND ADDRESS:**

Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(4) this record is exempt from the notification access and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as data are maintained by the Bureau of the Census as statistical records as required by Title 13, U.S. Code and are not used by the Bureau in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance with the Department's rules which appear in 15 CFR Part 4b.

**COMMERCE/CENSUS-7****SYSTEM NAME:**

Special Censuses of Population Conducted for State and Local Government—COMMERCE/CENSUS-7.

**SYSTEM LOCATION:**

Bureau of the Census, Federal Building 3, Washington, D.C. 20233 and Bureau of the Census, 1201 East 10th Street, Jeffersonville, Indiana 47103.

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

Residents counted in the area requesting a census.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Address, name, age, race, sex, relationship to head of household, and occasionally other related social, economic, and demographic characteristics.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

13 U.S.C. 8.

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

These data maintained by the Bureau of the Census are used solely for statistical purposes. Publications do not contain data that could identify any particular establishment or individual.

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

Magnetic tape, paper copy.

**RETRIEVABILITY:**

Records are retrieved by name and address.

**SAFEGUARDS:**

All employees are subject to the restrictions, penalties, and prohibitions of Title 13, U.S.C. Employees are also regularly advised of the regulations issued pursuant to Title 13, U.S.C. governing the confidentiality of the data.

**RETENTION AND DISPOSAL:**

Tapes retained for 90 days after processing, then erased, paper copy is retained for 2 years, then destroyed.

**SYSTEM MANAGER(S) AND ADDRESS:**

Associate Director for Administration, Bureau of the Census, Federal Building 3, Washington, D.C. 20233.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552(a)(k)(4) this record is exempt from the notification access and contest requirements of the agency procedures (under 5 U.S.C. 552(a)(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is applicable as the data are maintained by the Bureau of the Census solely as statistical records as required under Title 13 U.S.C. and are not used in whole or in part in making any determination about an identifiable individual. This exemption is made in accordance to agency rules published in the rules section of this Federal Register.

**COMMERCE/ITA-1****SYSTEM NAME:**

Individuals Identified in Export Transactions—COMMERCE/ITA-1.

**SYSTEM LOCATION:**

Office of Export Administration, ITA, U.S. Department of Commerce, 14th St. and Constitution Ave., NW., Washington, D.C. 20230.

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

a. Individuals involved in export transactions. Information is maintained on domestic and foreign companies and business officials, and includes U.S. citizens involved with or working for firms abroad. b. Individuals identified in an export administration compliance proceeding or investigation. Individuals alleged to have violated the Export Administration regulations; established violators of the regulations; certain other

individuals identified by the FBI or other investigating agency or individual in the investigative process such as those involved in organized crime; and individuals who have received warning letters.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Reports and cables from U.S. foreign service posts. Reports from F.B.I., other law enforcement or investigative agencies, investigators, or informants; investigative and intelligence data; documented violations; warning letters. Includes any information on alleged or proven violators of the Export Administration Act.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Export Administration Act of 1979 (Public Law 96-72, 50 U.S.C. App. et seq.). 5 U.S.C. 301, 28 U.S.C. 533-535, 44 U.S.C. 3101.

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

See routine use paragraphs 1-5 and 8-13 of the Prefatory Statement.

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

Paper records in file folders.

**RETRIEVABILITY:**

Information filed by case or subject file. All names are cross-referenced by name card file.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Retained for a reasonable period of time. Disposition is recorded.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Compliance Division, Office of Export Administration ITA, U.S. Department of Commerce, Washington, D.C. 20230.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Privacy Officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name, address, and case or subject, if known, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Individual exporters, those authorized by the individual exporters to furnish information, trade sources, investigative agencies, intelligence, investigative and other personnel of the Office of Export Administration, informants, CIA, FBI, Justice Department, Defense Department, Energy Department, and State Department.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(j)(2), all information about an individual in the record which meets the criteria stated in 5 U.S.C. 552a(j)(2) are exempt from the notice, access and contest requirements of the agency regulations and from all parts of 5 U.S.C. 552a except subsections (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11), and (i), and pursuant to 5 U.S.C. 552a(k)(1) and (k)(2) on condition that the 5 U.S.C. 552a(j)(2) exemption is held to be invalid, all investigatory material in the record which meets the criteria stated in 5 U.S.C. 552a (k)(1) and (k)(2) are exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)) of the agency regulations because of the necessity to exempt this information and material in order to accomplish this law enforcement function of the agency, to prevent subjects of investigation from frustrating the investigatory process, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of sources, to maintain access to sources of information, and to avoid endangering these sources and law enforcement personnel. Section 12(c) of the Export Administration Act of 1979 also protects certain of this information and material related to export licenses from disclosure.

**COMMERCE/ITA-2****SYSTEM NAME:**

Individuals Involved in International Business Trade Complaints—COMMERCE/ITA-2.

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**SYSTEM LOCATION:**

Office of Export Marketing Assistance, ITA, U.S. Department of Commerce, 14th St. and Constitution Ave., NW., Washington, D.C. 20230.

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

Individuals filing trade complaints (business disputes) against foreign firms, or against whom foreign firms file complaints through U.S. Embassies.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Complaint and supporting documentation, record of the handling and disposition of the complaint, and third party information (bank references, information obtained from other parties to the transaction, and commercial contacts of the individual).

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

15 U.S.C. 1512.

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

See routine use paragraphs 1-5, 9 and 13 of the Prefatory Statement. Also foreign governments obtain information on the disputants in order to check reliability of the firms involved, and foreign firms involved in the dispute obtain information. This information is supplied to the foreign governments and foreign firms through the Department of State. The Department of State also uses information to check the credibility of the foreign firms involved in a dispute. Information is released to other executive branch agencies, e.g., SBA, USDA, when a party to the dispute falls within their area of jurisdiction in an attempt to solve the dispute.

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

Paper records in file folders.

**RETRIEVABILITY:**

Name of American party to the dispute.

**SAFEGUARDS:**

Metal cabinets with bar and combination lock.

**RETENTION AND DISPOSAL:**

Permanent.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Office of Export Marketing Assistance, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Privacy Act Officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name of individual and name of American party to the dispute pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual, those authorized by the individual to furnish information, the complainant, banks, commercial contracts, and other parties to the transaction.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(1), material which is classified is exempted from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f), to prevent disclosures detrimental to national defense or foreign policy.

**COMMERCE/ITA-3****SYSTEM NAME:**

Mission Directors/Seminar Chairpersons/Industry Technical Representatives—COMMERCE/ITA-3.

**SYSTEM LOCATION:**

Office of Export Promotion, ITA, 14th St. and Constitution Ave. NW., U.S. Department of Commerce, Washington, D.C. 20230.

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

Individuals who are Directors of Department of Commerce U.S. Trade Missions, Chairpersons of U.S. Government Seminar Missions, and Industry Technical Representatives of Department of Commerce Catalog Exhibitions and Video/Catalog Exhibitions.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Home address, date and place of birth, photographs, brief career history, citizenship, and passport numbers.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Delegation of Authority, dated June 25, 1962 from United States Information Agency under Section 5(e) of Executive Order 11034 of June 25, 1962, as amended by Executive Order 11380 of November 8, 1967, insofar as said delegation pertains to U.S. Participation in trade missions abroad under the Mutual Educational and Cultural Exchange Act of 1961, as amended (22 U.S.C. 2451 et seq.).

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

General routine uses 1-5, 9 and 13 apply.

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

Paper records in file folders.

**RETRIEVABILITY:**

By promotion theme of trade event, location of trade event and individual's name.

**SAFEGUARDS:**

Records are locked in lockable metal file cabinets or in metal file cabinets in secured rooms or premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

File is retained for three years and then destroyed.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Special Promotions Division, Office of Export Promotion, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Privacy Act Officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name and location of trade mission and individual's name pursuant to the inquiry provisions of the Department's Rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual

concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual, and individual's company, and those authorized by the individual to furnish information.

**COMMERCE/ITA-4.**

**SYSTEM NAME:**

Membership Information: District Export Councils—COMMERCE/ITA-4.

**SYSTEM LOCATION:**

U.S. Commercial Service, ITA, 14th St. and Constitution Ave. NW., U.S. Department of Commerce, Washington, D.C. 20230.

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

Present, former and potential members of the District Export Councils.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Address, date and place of birth, brief career history, education, special qualifications for appointment, and record of appointment. Miscellaneous material such as photographs, press releases and resumes are maintained on some members.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

15 U.S.C. 1512.

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

See routine use paragraphs 1-5 and 9, 12, and 13 of Prefatory Statement.

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

**STORAGE:**

Paper records in file folders.

**RETRIEVABILITY:**

Filed by council and name of individual.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets or in metal cabinets in secured rooms or premises with access limited to those whose Official duties require access.

**RETENTION AND DISPOSAL:**

Retained for active councils. Retired when councils terminate or when individuals leave councils.

**SYSTEM MANAGER(S) AND ADDRESS:**

Deputy Assistant Secretary for the U.S. Commercial Service, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Privacy Act officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name of individual and council pursuant to the inquiry provisions of the Department's Rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual, individual's company, and persons nominating the individual for council membership.

**COMMERCE/ITA-5**

**SYSTEM NAME:**

National Defense Executive Reserve Personnel Folders—COMMERCE/ITA-5.

**SYSTEM LOCATION:**

Office of Industrial Mobilization and Office of Export Administration, ITA, 14th and Constitution Ave., N.W., U.S. Department of Commerce, Washington, D.C. 20230.

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

Individuals from the business community selected to assume responsibility for industrial production, construction, and distribution in the event of national emergencies.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name; home address; photograph; brief career history; names of close relatives; marital status; previous government experience; previous residences; current and recent past employment and approximate earnings; citizenship; social security number; business and residence telephone numbers; security clearance; statement of understanding; request for appointment; secrecy agreement; sex; date and place of birth; military and civil defense obligations; education; and professional and other memberships.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

E.O. 11179 of September 22, 1964.

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

See routine use paragraphs 1-5, 9, 12, and 13 of Prefatory Statement. Transferring data to the Federal Emergency Management Agency pursuant to E.O. 11179.

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

**STORAGE:**

Paper forms, index cards, word processor diskettes, and magnetic tape.

**RETRIEVABILITY:**

Paper forms and index cards are filed alphabetically by individual's name. Data on magnetic tape is retrieved by serial number. Data on word processor diskettes also retrieved alphabetically by individual's name.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets or in secured rooms or premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Retained until two years after individual's resignation or death and then discarded.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Office of Industrial Mobilization, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

Emergency Planning Officer, Office of Export Administration, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Privacy Act Officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide name of individual pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

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**RECORD SOURCE CATEGORIES:**

Subject individual and those authorized by the individual to furnish information.

**COMMERCE/ITA-6.****SYSTEM NAME:**

Foreign Service Officer Evaluations—  
COMMERCE/ITA-6.

**SYSTEM LOCATION:**

Foreign Commerce Service, ITA, U.S. Department of Commerce, 14th and Constitution Ave., N.W., Washington, D.C. 20230.

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

Members of the Foreign Commercial Service of the United States and Foreign Service Officers of the United States (State Department) serving abroad in commercial and/or economic positions or serving domestically in the United States Government.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Memorandums, cables, letters and other documents used in the preparation of Foreign Service Commercial Officer Evaluation Reports; and (2) other documents relating to officer performance.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Foreign Service Act of 1980 (P.L. 96-465)

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

A record in this system may be disclosed as a routine use to the Department of State in connection with the evaluation of the performance of a Foreign Service Officer. See also paragraphs 1-5 of the Prefatory Statement.

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

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by individual FSO's name.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets in premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Documents relating to officer performance are retained until retirement, resignation, or death of the

individual and then retired or destroyed, as appropriate.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director General of the Foreign Commercial Service, ITA, U.S. Department of Commerce, Washington, D.C. 20230.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Privacy Act Officer, Office of Management and Systems, ITA, Room 3102, U.S. Department of Commerce, Washington, D.C. 20230. Requester should provide his name pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual, and supervisors of those individuals.

**COMMERCE/IATC-1.****SYSTEM NAME:**

Auditor Trainee Registrants—  
COMMERCE/IATC-1.

**SYSTEM LOCATION:**

Office of Administrative Services, Records Management Division, U.S. Department of Commerce, Washington, D.C. 20230.

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

Individuals who had registered as an enrollee at the Interagency Auditor Training Center.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name; date of birth; social security number; phone; address; occupation; position; grade level; and education.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Government Employees Training Act of 1958; Executive Order 11348, April 20, 1976; and Intergovernmental Cooperation Act of 1968 (P.L. 90-557).

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

See routine use paragraphs 1-5 and 9-13 of Prefatory Statement.

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

Paper records in file folders.

**RETRIEVABILITY:**

Indexed by name and year of attendance.

**SAFEGUARDS:**

Records are located in secured premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Records will be disposed of in accordance with the Office's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Office of Administrative Services, U.S. Department of Commerce, Washington, D.C. 20230.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: address same as above. Requester should provide name and dates of attendance pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: Director, Office of Organization and Management Systems, OS, Department of Commerce, Washington, D.C. 20230.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals and those authorized by the individual to furnish information.

**COMMERCE/MBDA-1****SYSTEM NAME:**

Descriptive Data Questionnaire—  
COMMERCE/MBDA-1

**SYSTEM LOCATION:**

James H. Lowry and Associates, Suite 1340, 303 East Wacker Drive, Chicago, Illinois 60601.

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

Students and business managers and entrepreneurs surveyed on a voluntary basis as part of the study of business

management development needs of minorities.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Age, sex, ethnic origin, education, company data, assessment of career and goals, organizational affiliation(s), personal performance evaluation, opinions of career opportunities/impediments.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Executive Order 11625.

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

The James H. Lowry Associates, specifically the Project Manager and an administrative staffer, will use this information to identify those areas which MBDA's business management development program should address.

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

**STORAGE:**

Paper copy in file folders for 60 days; then converted to magnetic tape.

**RETRIEVABILITY:**

By site code.

**SAFEGUARDS:**

Records are located in company vault with access limited to those whose official duties require access. Only two James H. Lowry and Associates employees will have access.

**RETENTION AND DISPOSAL:**

Survey information will be destroyed September 30, 1982.

**SYSTEM MANAGER(S) AND ADDRESS:**

Assistant Director for Planning, Budget and Evaluation, MBDA, U.S. Department of Commerce, Washington, D.C. 20230.

**NOTIFICATION PROCEDURE:**

Information may be obtained from Deputy Chief Counsel, MBDA, U.S. Department of Commerce, Washington, D.C. 20230.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to same address as stated in the Notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual and those authorized by the individual to furnish information.

**COMMERCE/NBS-1.**

**SYSTEM NAME:**

NBS Guest Workers—COMMERCE/NBS-1

**SYSTEM LOCATION:**

Personnel Division, National Bureau of Standards, U.S. Department of Commerce, Washington, D.C. 20234.

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

Guest workers pursuing individual scientific or technical projects.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Agreement between NBS and guest worker; name; citizenship; social security number; supervisor; arrival and departure dates; date of security assurance; conditions; and facilities to be made available.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

27 Stat. 395 and 31 Stat. 1039.

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

See routine use paragraphs 1-10 and 13 in the Prefatory Statement.

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

**STORAGE:**

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

The records are disposed 5 years after guest worker terminates.

**SYSTEM MANAGER(S) AND ADDRESS:**

Personnel Officer, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Deputy Director of Administration, Room 1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name and approximate date of affiliation, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual, those authorized by the individual to furnish information, and operating officials making the facilities available.

**COMMERCE/NBS-2**

**SYSTEM NAME:**

Inventors of Energy-Related Processes and Devices—COMMERCE/NBS-2

**SYSTEM LOCATION:**

Office of Energy-Related Inventions, National Engineering Laboratory, National Bureau of Standards, Washington, D.C. 20234.

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

Inventors submitting ideas for evaluation by NBS.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, address, and telephone number of the persons submitting ideas or inventions for evaluation.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

88 Stat. 1894.

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

In addition to the routine use paragraphs 1-10 and 13 in the Prefatory Statement, the information is used in correspondence with the inventor or person submitting the invention for evaluation and submitter-designated interested third parties, in the evaluation of technical and commercial feasibility, in reports to the Department of Energy, and in development of statistical and analytical data.

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

**STORAGE:**

Manual and machine-readable.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets; access to all files is restricted to those persons requiring access for evaluation or administrative purposes and who have permission pursuant to a written contract or agreement with NBS, or have written authorization of the legal advisor; an exception to this would be a valid request made under the Freedom of Information Act for information that is not 1) a trade secret or 2) commercial or financial information that is privileged or confidential and therefore falling within the exemption set out in the Act, 5 U.S.C. 552(b)(4).

**RETENTION AND DISPOSAL:**

Currently all records are retained indefinitely.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Office of Energy-Related Inventions, National Engineering Laboratory, National Bureau of Standards, Washington, D.C. 20234.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Deputy Director of Administration, Room 1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name and additional factual data as appropriate, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals and those authorized by the individual to furnish information.

**COMMERCE/NBS-3****SYSTEM NAME:**

Research Associates—COMMERCE/NBS-3.

**SYSTEM LOCATION:**

Office of the Director, Administration Building, National Bureau of Standards, U.S. Department of Commerce, Washington, D.C. 20234.

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

Research Associates.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Personal history statement, conflict of interest statement.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

27 Stat. 395 and 31 Stat. 1039.

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

See routine use paragraphs 1-5, 9, and 13 of the Prefatory Statement.

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

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Records are located in lockable file cabinets with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Records are transferred from an active to terminated section of the files at conclusion of individual's service as a research associate and are retained in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Industrial Liaison Officer, Office of the Director, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Deputy Director of Administration, Room 1105, Administration Bldg., National Bureau of Standards, Washington, D.C. 20234. Requester should provide name and approximate date of affiliation, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents; and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual and those authorized by the individual to furnish information.

**COMMERCE/NBS-4****SYSTEM NAME:**

Employees External Radiation Exposure Records—COMMERCE/NBS-4.

**SYSTEM LOCATION:**

Health Physics, Occupational Health and Safety Division, National Bureau of Standards, Washington, D.C. 20234.

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

Individuals working with radioactive materials and machines who may be exposed to ionizing radiation.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, social security number, date of birth, organizational unit, and amount of radiation received.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

42 U.S.C. 2201 and 68 Stat. 950.

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

See routine use paragraphs 1, 3, 4, 5, 6, and 9 in the Prefatory Statement. Also, film from badges is sent monthly to the U.S. Army for determination of amount of radiation exposure.

Information involving exposure levels, incidents, and amounts of overexposure is required to be submitted to the Nuclear Regulatory Commission. In the event of serious overexposure, information would be disclosed to the Bethesda (Maryland) Naval Medical Center, employee's family physician, and other appropriate medical authorities.

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

Paper records in file folders, film, and/or machine-readable.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Manual records are located in lockable metal file cabinets with access limited to those whose official duties require access. Machine-readable records are accessible only with terminals under the administrative control of the Health Physics Unit of the

Occupational Health and Safety Division.

**RETENTION AND DISPOSAL:**

Currently, records are retained indefinitely.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Health Physics, Occupational Health and Safety Division, National Bureau of Standards, Washington, D.C. 20234.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Deputy Director, Room 1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name, social security number, and date of employment, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rule for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals and U.S. Army.

**COMMERCE/NBS-5**

**SYSTEM NAME:**

Nuclear Reactor Operator Licensees File—COMMERCE/NBS-5.

**SYSTEM LOCATION:**

Reactor Radiation Division, National Measurement Laboratory, National Bureau of Standards, Washington, D.C. 20234.

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

NBS employees who are licensed as Nuclear Reactor Operators, those whose applications for licenses are being processed, and those whose licenses have expired.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

These records contain information relating to the application for a Nuclear Reactor Operator's license, certification of competency, certification of medical history, results of medical examination and related correspondence, reactor operator examination and examination results, records of training, and license or denial letter.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Sections 107, 161(i), Atomic Energy Act of 1954 as amended, 42 U.S.C. 2137, and 2021(i), 15 U.S.C. 272.

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

Information in these records may be disclosed: To the Nuclear Regulatory Commission for the purpose of conducting audits of the qualifications of reactor operators. Also see routine use paragraphs 1-6 and 9-13 of the Prefatory Statement.

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

**STORAGE:**

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Records are maintained in a locked filing cabinet in a limited access building.

**RETENTION AND DISPOSAL:**

All records relating to an individual's license and documentation for license including requalification requirements will be retained as long as is required by the Reactor License and will thereafter either be turned over to the individual concerned or destroyed.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Reactor Radiation Division, National Measurement Laboratory, National Bureau of Standards, Washington, D.C. 20234.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Deputy Director of Administration, Room 1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name and additional factual data as appropriate, pursuant to the inquiry provisions of the Department's rules, which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual, licensed physician, employees of the Reactor Radiation Division, and those authorized by the subject individual to supply information.

**COMMERCE/NBS-6**

**SYSTEM NAME:**

Participants in Experiments, Studies, and Surveys—COMMERCE/NBS-6.

**SYSTEM LOCATION:**

Portions of the system may be located with contractors involved in the experiments, studies, or surveys, or in any one of the following locations:

National Measurement Laboratory, Room B364, Materials Bldg., NBS, Washington, D.C. 20234; Room R4011, NBS, Boulder, CO 80302;

National Engineering Laboratory, Room B117, Technology Bldg., NBS, Washington, D.C. 20234.

Institute for Computer Sciences and Technology, Room A200, Administration Bldg., NBS, Washington, D.C. 20234.

For those portions located with contractors, a complete list of contractors and addresses is available from the Deputy Director for Information Systems, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234.

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

Individuals who have voluntarily applied to serve or who have served as participants in socio-economic, technical, or psychological experiments, studies and surveys undertaken in furtherance of authorized research activities.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, age, birth date, place of birth, sex, race, home address and telephone number, business address and telephone number, education, income, occupation, family size and composition, patterns of product use, drug sensitivity data, medical, dental and physical history information, and such other information as is necessary, to be determined by the subject matter and purpose of the experiment, study or survey, including data derived from participants' responses during the course of the authorized research.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

15 U.S.C. 271 et. seq.; 29 U.S.C. 651 et. seq.

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

Information in the system may, on occasion, be disclosed to Federal agencies and other outside organizations which have sponsored the research in connection with which the data were obtained. General routine use paragraphs 5, 9, and 13 of the Prefatory Statement also apply to this system.

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

Paper records in file folders, electromagnetic storage material and microform.

**RETRIEVABILITY:**

Filed alphabetically by name, or control number or other code identifier.

**SAFEGUARDS:**

During business hours the records at NBS sites are maintained in a secured building with access limited to those whose official duties require access; during non-business hours, the records are in secured rooms with access controlled by security guards. Any records maintained by contractors will be maintained in similar fashion in accordance with contractual specifications.

**RETENTION AND DISPOSAL:**

Retained in accord with NBS's records control schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, National Engineering Laboratory, Room B117, Technology Bldg., NBS, Washington, D.C. 20234.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name, approximate date, and title of experiment, study or survey pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: Same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and for appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals and those authorized by the individual to furnish information.

**COMMERCE/NBS-7****SYSTEM NAME:**

NBS Emergency Locator System—  
COMMERCE/NBS-7

**SYSTEM LOCATION:**

National Bureau of Standards, Gaithersburg, Maryland: Physical Security Office, Fire Protection Service Office, Health Physics Unit Office; National Bureau of Standards, Boulder, Colorado: Guard Office, Deputy Security Office, homes of Department of Commerce management officials having overall responsibility for the protection of personnel, buildings, and equipment.

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

NBS employees and other individuals utilizing NBS facilities.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Names and home telephone numbers.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301, 15 U.S.C. 278e, 40 U.S.C. 490(d).

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

Home telephone numbers will be used by the Department of Commerce staff to contact NBS employees or individuals using NBS facilities in the case of an emergency (e.g., fire, explosion, power outage, heavy snow). Those contacted will typically be scientists or engineers whose experiments might be affected by such an emergency or other employees who will be required to deal with the emergency.

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

Manual and machine-readable.

**RETRIEVABILITY:**

Building and room number; organizational code.

**SAFEGUARDS:**

Paper records will be kept in lockable file cabinets with limited access; machine-readable records will have limited access with security key required.

**RETENTION AND DISPOSAL:**

Records will be updated every 6 months or more frequently.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Facilities Services Division, Office of the Director of Administrative and Information Systems, NBS, Washington, D.C. 20234; Staff Services Officer, Boulder Executive Office, Radio Building, Room 4011, NBS, Boulder, Colorado 80303.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Deputy Director of Administration, Room A1105, Administration Building, National Bureau of Standards, Washington, D.C. 20234. Requester should provide name and building location or organizational unit.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: Same address as stated in the Notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and for appealing initial determinations by the individual concerned appear at 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals and those authorized by the individual to furnish information.

**COMMERCE/NOAA-1****SYSTEM NAME:**

Applicants for the NOAA Corps—  
Commerce/NOAA-1.

**SYSTEM LOCATION:**

Office of the Director, NOAA Corps, National Oceanic and Atmospheric Administration, Rockville, Maryland 20852.

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

Applicants for appointment in the NOAA Corps.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, social security number, letters of reference, physical examinations, college transcripts, statements of prior military service, recruiting officer's appraisal, personal resumes, and similar data necessary to be considered for a commission in the NOAA Corps.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

33 U.S.C. 853i; 853j; 853j-1; 853t; 854; 854a-1.

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

See routine use paragraphs of Prefatory Statement. General routine use #12 does not apply. Also to respond to the applicant, Members of Congress, or others with a valid interest who may inquire as to the status of the application or who may request reconsideration of a rejected application.

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

**STORAGE:**

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Records are maintained in secured room. Access only on the authority of the Director, NOAA Corps or the Chief/Deputy Chief, Commissioned Personnel Division.

**RETENTION AND DISPOSAL:**

Destroyed after approximately six months if rejected, unless applicant indicates a desire for reconsideration.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, NOAA Corps, National Oceanic and Atmospheric Administration, Rockville, Maryland, 20852.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name, address, social security number, and date of birth, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals, personal references, the NOAA Corps officer who recruited the individual, and those authorized by the individual to furnish information.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(5), all investigatory material in the record which meets the criteria of 5 U.S.C. 552a(k)(5) is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)) of the agency regulations in order to fulfill commitments made to protect the confidentiality of sources, and to maintain access to sources of information which are necessary to determine applicant's suitability for employment in the NOAA Corps.

**COMMERCE/NOAA-2**

**SYSTEM NAME:**

Commissioned Officers Official Travel Orders Folders—COMMERCE/NOAA-2.

**SYSTEM AND LOCATION:**

Office of the Director, NOAA Corps, National Oceanic and Atmospheric Administration, Rockville, Maryland 20852.

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

Commissioned officers of the NOAA Corps (active, retired, and deceased) and former officers separated within previous six months.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, grade, social security number, estimated travel cost, dates of transfer, assignment locations, and type of duty.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

37 U.S.C.; 33 U.S.C. 857-5, 857a, 855

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

See routine use paragraphs of the Prefatory Statement. General Routine uses #6 and #12 do not apply. Also the record is sent to the organization to which officer is assigned such as branches of the U.S. Military service, branches of foreign military services, World Weather Organization, etc., to authorize travel and travel allowances and to effect assignments and assignment changes for commissioned officers.

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

**STORAGE:**

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Records are maintained in a locked space. Access only on the authority of the Director, NOAA Corps, or the Chief/Deputy Chief, Commissioned Personnel Division.

**RETENTION AND DISPOSAL:**

Retained as separate file on all active duty officers. Incorporated into the Official Personnel File of retired and deceased officers and retained. Incorporated into the Official Personnel File of separated officers and after six months transferred to the National Personnel Records Center, St. Louis, Missouri 63118.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, NOAA Corps, see above address.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for Management and Budget, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide full name, social security number, date of birth, and dates of service, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual's Official Personnel Record and from the approved recommendations of the Officer Assignment Board.

**COMMERCE/NOAA-3**

**SYSTEM NAME:**

Commissioned Officer Official Personnel Folders—COMMERCE/NOAA-3.

**SYSTEM LOCATION:**

Office of the Director, NOAA Corps (NC), National Oceanic and Atmospheric Administration, Rockville, Maryland 20852.

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

Commissioned Officers of the NOAA Corps (active, retired, and deceased) and former commissioned officers separated within previous six months.

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**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, social security number; selective service number; promotion history; history of assignments; performance evaluations; date of birth; education; prior employment history; prior uniformed service; pay and allowance data; relatives; references; commendations; discipline; insurance; medical evaluations; and similar personal information.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

33 U.S.C. 853a-t, 854a-a-2, 855, 856, 857, 857-1-5, 857a, 858, 864, 865, 872, 873, 874, 875, 876; 5 U.S.C. 301; 28 U.S.C. 533-535; 44 U.S.C. 3101; and, E.O. 10450.

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

See routine use paragraphs of the Prefatory Statement. Users are Selective Service System, Veterans Administration, Federal Housing Administration, Social Security Administration, Public Health Service, Department of Defense elements, Taxing authorities (Federal, State and local), unemployment compensation authorities, and the organization to which officer is assigned such as branches of U.S. Military Service, branches of foreign military services, World Weather Organizations, etc. Selected information is disseminated to determined eligibility for retention, promotion, retirement, separation, and other personnel actions; physical fitness; entitlement to pay and various allowances; report taxes withheld; entitlement to social security benefits, Veterans benefits, unemployment compensation, waivers for repayment of student loans, death benefits, survivor benefits, and FHA in-service loans; assignments; and selective service status.

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

Paper records in file folders, (selected data elements in this system are duplicated on word processing equipment for ease of retrieval).

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Records are maintained in secured area. Access only on the authority of the Director, NOAA corps or the Chief/Deputy Chief, Commissioned Personnel Division.

**RETENTION AND DISPOSAL:**

Records retained indefinitely on active, retired, and deceased officers; discharged officer's records are retained for approximately 6 months, then transferred to the National Personnel Records Center St. Louis, Missouri 63118.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, NOAA Corps, see above address.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name, address, social security number, and date of birth pursuant to the inquire provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individuals concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual, official correspondence and forms generated by routine personnel actions, previous employers, prior military service, Selective Service System, Federal Housing Administration, Social Security Administration, and similar sources.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(5), all investigatory material in the record which meets the criteria of 5 U.S.C. 552a(k)(5), is exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H) and (I), and (f)) of the agency regulations in order to fulfill commitments made to protect the confidentiality of sources, and to maintain access to sources of information which are necessary to determine employee's suitability for employment in the NOAA Corps.

**COMMERCE/NOAA-4****SYSTEM NAME:**

Commissioned Officers Retired Payroll—COMMERCE/NOAA-4.

**SYSTEM LOCATION:**

Office of the Director, NOAA Corps, NOAA, Rockville, Md. 20852.

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

Commissioned officers of the NOAA Corps who are entitled to retired pay, and the survivors of deceased active duty and retired officers who are entitled to a survivor's annuity.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, social security number; amount of gross retired pay or survival annuity; amount of federal income tax withheld; amount of VA reduction; amount of survivor benefit cost deducted; miscellaneous deductions; and net retired pay or annuity.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

33 U.S.C. 853a-h; 853j-1-t; 854a-2; 856; 857-2; 857-5; 872; 873. Authorities for Payroll Records: 5 U.S.C. 301; 552; Chap. 55; 31 U.S.C. 550; 628; 31 U.S.C. 52; 15 U.S.C. 1511; 37 U.S.C. 201 (Pay for Commissioned Officers); 5 App. Reorg. Plan No. 4 of 1970.

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

See routine use paragraphs of Prefatory Statement.

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

Manual, flat-paper computer print-out.

**RETRIEVABILITY:**

Filed by month and year.

**SAFEGUARDS:**

Records are maintained in a secured area. Access only by authority of the Director, NOAA Corps or the Chief, Program Planning, Liaison and Training Division.

**RETENTION AND DISPOSAL:**

Retained 3 years and then destroyed.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, NOAA Corps, see above address.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for Management and Budget, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide full name, grade, social security number and branch of service pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Information is a print-out from the computerized retired pay system maintained by the Commanding Officer, U.S. Navy Finance Center, 240 East Ninth Street, Cleveland, Ohio 44199, who maintains, under contract, the pay accounts of retired NOAA Corps officers and their annuitants.

**COMMERCE/NOAA-5****SYSTEM NAME:**

Fisheries Law Enforcement Case Files—COMMERCE/NOAA-5

**SYSTEM LOCATION:**

Enforcement Division, NMFS, 3300 Whitehaven Street NW., National Oceanic and Atmospheric Administration, U.S. Department of Commerce, Washington D.C. 20235.

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

Violators and alleged violators of the criminal and/or civil provisions of certain laws (listed in the Authority section of this notice) and the regulations issued thereunder, within the responsibility of the Secretary of Commerce.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

1. Information compiled for the purpose of identifying individual criminal and/or civil offenders and alleged offenders and consisting of identifying data and notations of arrests, the nature and disposition of criminal or civil charges, sentencing, confinement, release, parole and probation status, and fines and penalties assessed;
2. Information compiled for the purpose of a criminal or civil investigation, including reports of informants and investigators, and associated with an identifiable individual;
3. Reports identifiable to an individual compiled at any stage of the process of enforcement of the criminal and civil laws from arrest or indictment through release from supervision, and the imposition of civil sanctions through administrative and/or judicial process; and

4. Investigatory material compiled for law enforcement purposes other than the material covered above.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Reorganization Plan No. 4 of 1970; 5 U.S.C. 301; 28 U.S.C. 533-535; 44 U.S.C. 3101; E.O. 10450; Certain sections of Titles 15, 16, 18, and 22 of the United States Code; and relevant treaty, international convention, and/or agreements of which there are approximately 20. (Example: International Convention for the Regulation of Whaling (TIAS 1849) cf. 16 U.S.C. 916).

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

See routine use paragraphs 1-5, 8-10, and 13 of the Prefatory Statement. Also, information is given to the Marine Mammal Commission for their use in making recommendations on the issuance of permits and the award of grants under the Marine Mammal Protection Act of 1972.

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

Both manual and machine-readable, and computer output records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by individual's name and is also given an identifying case number at its initiation.

**SAFEGUARDS:**

Employees are informed of the Departmental rule of conduct regarding unauthorized disclosure of information contained in official records. All Special Agents receive a security clearance, granted by the Department of Commerce, after an investigation. The files of the Law Enforcement Division which relate to information concerning an identifiable individual are maintained in locked, metal file cabinets. Automated records are maintained in premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

All records of this Division are subject to the retention and disposal procedures set forth in NOAA Directives Manual 62-10, et seq.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Enforcement Division, National Marine Fisheries Service, National

Oceanic and Atmospheric Administration, U.S. Department of Commerce, 3300 Whitehaven Street, NW., Page Building 2, Suite 426, Washington, D.C. 20235.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name, address, and case number pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual and those authorized by the individual to furnish information; NMFS investigators; Federal and state law enforcement personnel; foreign governments; special interest organizations, members of the general public, and all information sources that are open to the public-at-large.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(j)(2), all information about an individual in the record which meets the criteria stated in 5 U.S.C. 552a(j)(2) are exempted from the notice, access and contest requirements of the agency regulations and from all parts of 5 U.S.C. 552a except subsections (b), (c)(1) and (2), (e)(4)(A) through (F), (e)(6), (7), (9), (10), and (11), and (i), and pursuant to 5 U.S.C. 552a(k)(2), on condition that the 5 U.S.C. 552a(j)(2) exemption is held to be invalid, all investigatory material in the record which meet the criteria stated in 5 U.S.C. 552a(k)(2) are exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)) of the agency regulations because of the necessity to exempt this information and material in order to accomplish this law enforcement function of the agency, to prevent subjects of investigation from frustrating the investigatory process, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of sources,

to maintain access to sources of information, and to avoid endangering these sources and law enforcement personnel. In addition, pursuant to 5 U.S.C. 552a(k)(1), all materials qualifying for this exemption are exempt from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), (I), and (f) in order to prevent disclosure of classified information as required by Executive Order 12065 in the interest of the national defense and foreign policy.

**COMMERCE/NOAA-6****SYSTEM NAME:**

Fishermen's Statistical Data—  
COMMERCE/NOAA-6.

**SYSTEM LOCATION:**

Data Management and Information Systems Division, NMFS, NOAA, U.S. Department of Commerce, 3300 Whitehaven Street, NW., Washington, D.C. 20235; and the following field locations of the National Marine Fisheries Services:

Northeast Fisheries Center, Woods Hole, Massachusetts 02543

Southeast Fisheries Center, 75 Virginia Beach Drive, Miami, Florida 33149

Southwest Fisheries Center, P.O. Box 271, LaJolla, California 92038

Northwest and Alaska Fisheries Center, 2725 Montlake Boulevard, East, Seattle, Washington 98112

Northeast Regional Office, 14 Elm Street, Federal Building, Gloucester, Massachusetts 01930

Southeast Regional Office, 9450 Gandy Boulevard, St. Petersburg, Florida 33702

Southwest Regional Office, 300 South Ferry Street, Terminal Island, California 90731

Northwest Regional Office, 1700 Westlake Avenue, North, Seattle, Washington 98105

Alaska Regional Office, P.O. Box 1668, Juneau, Alaska 99802

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

Marine recreational and commercial fishermen, owners/operators of registered/documented boats and vessels.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

a. Marine recreational fishermen catches by species, length, weight, area of capture, disposition of catch, and expenses and other trip records.

b. Fishery Management Plan data consist of such data as: Individual's name, address; telephone number, sex, age group, and income group, obtained in fishing censuses. Other data contain boat and vessel registration information, including owner and operator, vessel

characteristics, gear types, and area fished.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

a. Fish and Wildlife Act as amended (16 U.S.C. 742 et seq.). b. Fishery Conservation and Management Act of 1976 as amended (16 U.S.C. 1852).

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

a. See routine use paragraphs 1-5, 9, and 12 of the Prefatory Statement.

b. Data in the system are required for the development and monitoring of fishery management plans.

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

Paper copy, punch cards, mag-tape, and disc files.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Personnel indoctrination and screening; secured offices; and entrance into the computer system to obtain individual records would require detailed knowledge of in-house ADP procedures by a skilled computer programmer.

**RETENTION AND DISPOSAL:**

Records are permanently maintained.

**SYSTEM MANAGER(S) AND ADDRESS:**

Executive Director, National Marine Fisheries Service, 3300 Whitehaven Street, Washington, D.C. 20235.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals.

**COMMERCE/NOAA-7****SYSTEM NAME:**

Guest Workers at National Geophysical and Solar-Terrestrial Data Center—COMMERCE/NOAA-7.

**SYSTEM LOCATION:**

National Geophysical and Solar-Terrestrial Data Center, EDS/NOAA, RB3, Room A123, Boulder, Colorado 80302.

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

People that are visiting NGSDC as Guest Workers to use the data files.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name; address; length of visit; type of work they are doing; and education.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301 and 44 U.S.C. 3301.

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

See routine use paragraphs 1-5, 9, and 12 of the Prefatory Statement.

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

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Records are located in metal file cabinets which are locked after hours. Access is limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Records are retained for 3 years.

**SYSTEM MANAGER(S) AND ADDRESS:**

Administrative Officer, NGSDC, see above address.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Blvd., Rockville, Maryland 20852. Requester should provide name pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual and those authorized by the individual to furnish information.

**COMMERCE/NOAA-8****SYSTEM NAME:**

Individuals Engaged in Weather Modification Activities—COMMERCE/NOAA-8.

**SYSTEM LOCATION:**

Assistant Administrator for Research and Development, NOAA, U.S. Department of Commerce, 6010 Executive Blvd., Rockville, Md. 20852.

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

Individuals and associations involved in weather modification operations.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Individual's name and address; type of weather modification activity; location and duration of project; and equipment used.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

P.L. 92-205; 15 CFR Part 908.

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

See routine use paragraphs in the Prefatory Statement. Also information is made available to anyone who so requests.

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

Paper records in file folders.

**RETRIEVABILITY:**

Filed sequentially by chronology.

**SAFEGUARDS:**

Records are located in cabinets with full public access upon request.

**RETENTION AND DISPOSAL:**

Records are maintained indefinitely.

**SYSTEM MANAGER(S) AND ADDRESS:**

Office of the Director, Office of Weather Modification, see above address.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for

Management and Budget, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide—name, address, date(s) of project etc., pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access; for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual or association involved and those authorized by the foregoing to furnish information.

**COMMERCE/NOAA-9****SYSTEM NAME:**

Scientist-Researchers in GATE (Global Atmospheric Research Program Atlantic Tropical Experiment)—COMMERCE/NOAA-9.

**SYSTEM LOCATION:**

Assistant Administrator for Research and Development, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852.

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

Research meteorologists and ocean scientists participating in the Global Atmospheric Research Program Atlantic Tropical Experiment (GATE).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Names of individual scientists; their research institutions and research programs; and their addresses.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Ministerial requirement necessitated by NOAA's appointment, as lead agency for the U.S. participation in "GATE"; Presidential memorandum dated July 5, 1968 to DOC; 5 U.S.C. 301; and 44 U.S.C 3101.

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

See routine use paragraphs 1-5, 9, 12, and 13 of the Prefatory Statement. Data is also used to summarize and evaluate the U.S. GATE Research Program for the World Meteorological Organization in cooperation into the International summary.

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

Paper records in file folders.

**RETRIEVABILITY:**

Indexed by name of principal scientist.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secure premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Records maintained indefinitely.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, GATE Project Office, see above address.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for Management and Budget, NOAA, 6010 Executive Blvd., Rockville, Maryland 20852. Requester should provide—name and address, etc., pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual and those authorized by the individual to furnish information.

**COMMERCE/NOAA-10****SYSTEM NAME:**

NOAA Diving Program File—COMMERCE/NOAA-10.

**SYSTEM LOCATION:**

a. NOAA Diving Office, 11400 Rockville Pike, Rockville, Maryland 20852.

b. For Atlantic Marine Center personnel, duplicate records are maintained at the Atlantic Marine Center, 439 West York Street, Norfolk, Virginia 23510.

c. For Pacific Marine Center personnel, duplicate records are maintained at the Pacific Marine Center,

1801 Fairview Avenue, East, Seattle, Washington 98102.

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

Applicants for the diving program and NOAA employees who are NOAA certified Divers.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Diving physical examinations, verification of completed scuba instruction, NOAA scuba diving written examination, diver resume, diver evaluations, letters of certification and/or appointment, monthly diving logs, individual correspondence.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; 44 U.S.C. 3101; 16 U.S.C. 1432; 33 U.S.C. 1441, 1442.

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

See general routine use paragraphs numbered 1 through 6, 8 through 10, and 12 of the Prefatory Statement.

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

**STORAGE:**

Manual and machine readable.

**RETRIEVABILITY:**

Alphabetically by surname.

**SAFEGUARDS:**

Records are located in locked metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Five years after termination of diver.

**SYSTEM MANAGER(S) AND ADDRESS:**

For records at location a.: NOAA Diving Coordinator, 6001 Executive Boulevard, Rockville, Maryland 20852.

For records at location b.: CAM Diving Officer, Atlantic Marine Center, 439 W. York Street, Norfolk, Virginia 23510.

For records at location c.: Budget and Finance Officer, Pacific Marine Center, 1801 Fairview Avenue, East, Seattle, Washington 98102.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard Rockville, Maryland 20852. Requestor should provide name and address pursuant to the inquiry

provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual, the Unit Diving Officer, training officers and NOAA Diving Medical Review Board.

**COMMERCE/NOAA-11**

**SYSTEM NAME:**

NOAA Mailing Lists—COMMERCE/NOAA-11

**SYSTEM LOCATION:**

Mailing lists are maintained at numerous NOAA installations throughout the United States. Addresses of major installations where there are mailing lists are:

Office of Publications, Main Commerce Building, 14th Street and Constitution Avenue, NW., Washington, D.C. 20230.

**Headquarters:**

Assistant Administrator for Management and Budget, 6010 Executive Boulevard, Rockville, Maryland 20852.

Director, Office of Finance, North Bethesda Office Center, 11420 Rockville Pike, Rockville, Maryland 20852.

Assistant Administrator for Fisheries: Assistant Administrator for Fisheries, Office of Fisheries, 3300 Whitehaven Street, NW., Washington, D.C. 20235.

Director, Northwest Region, National Marine Fisheries Service, NOAA, 1700 Westlake Avenue North, Seattle, Washington, 98109.

Director, Southeast Region, National Marine Fisheries Service, NOAA, 9450 Koger Boulevard, St. Petersburg, Florida 33702.

Director, Northeast Region, National Marine Fisheries Service, NOAA, 14 Elm Street, Federal Building, Gloucester, Massachusetts 01930.

Director, Southwest Region, National Marine Fisheries Service, NOAA, 300 South Ferry Street, Terminal Island, California 90731.

Director, Alaska Region, National Marine Fisheries Service, NOAA, P.O. Box 1668, Juneau, Alaska 99802.

Chief, Resource Statistics Division, National Marine Fisheries Service, NOAA, 3300 Whitehaven Street, NW., Washington, D.C. 20235.

Chief, Scientific Publications Office, National Marine Fisheries Service, NOAA, 1107 Northeast 45th Street, Seattle, Washington 98105.

Director, Northeast Fisheries Center, NOAA, Woods Hole, Massachusetts 02543.

Director, Southwest Fisheries Center, NOAA, P.O. Box 271, LaJolla, California 92038.

Director, Charleston Laboratory, NOAA, P.O. Box 12607, Charleston, S.C. 29412.

Director, Southeast Fisheries Center, NOAA, 75 Virginia Beach Drive, Miami, Florida 33149.

Director, Beaufort Laboratory, NOAA, P.O. Box 570, Beaufort, North Carolina 28516.

**National Ocean Survey:**

Director, National Ocean Survey, 6001 Executive Boulevard, Rockville, Maryland 20852.

Chief, Distribution Division, NOAA, Riverdale Building, 6501 Lafayette Avenue, Riverdale, Maryland 20840.

**Environmental Data and Information Service:**

Director, Environmental Data and Information Service, 3300 Whitehaven Street, NW., Washington, D.C. 20235.

Director, National Climatic Center, Environmental Data and Information Service, Federal Building, Ashville, North Carolina 28801.

Director, National Geophysical and Solar Terrestrial Center, Research Building 3, NOAA, 3100 Marine Street, Boulder, Colorado 80302.

**National Earth Satellite Service:**

National Earth Satellite Service, National Oceanic and Atmospheric Administration, Federal Building 4, Suitland, Maryland 20233.

A roster of each mailing list covered by the Privacy Act and its specific location is maintained by the system manager, address below.

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

Recipients of NOAA publications and/or other publicly available programmatic information.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

All of the lists contain names and addresses. Some of the lists contain telephone numbers, subscription information, addressee's product and its country of origin.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; 15 U.S.C. 1512.

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

See general routine use paragraphs numbered 4, 5, and 9-13 in the Prefatory Statement.

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

Manual and machine readable.

**RETRIEVABILITY:**

Alphabetically by name.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Records are retained indefinitely; however, individuals are advised of the existence of the mailing list annually and at their request, names will be deleted or addresses corrected.

**SYSTEM MANAGER(S) AND ADDRESS:**

Assistant Administrator for Management and Budget, 6010 Executive Boulevard, Rockville, Maryland 20852.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name and address pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual.

**COMMERCE/NOAA-12****SYSTEM NAME:**

Marine Mammals, Endangered and Threatened Species, Permits and

**Exemptions Applicants—COMMERCE/NOAA-12****SYSTEM LOCATION:**

Office of Marine Mammal and Endangered Species, National Marine Fisheries Service, National Oceanic and Atmospheric Administration, U.S. Department of Commerce, Washington, D.C. 20235.

Duplicate portions of the system may be located in the Regional Offices of the National Marine Fisheries Service at: Federal Building, 14 Elm Street,

Gloucester, Massachusetts 01930.  
Duval Building, 9450 Gandy Boulevard, St. Petersburg, Florida 33702.  
300 South Ferry Street, Terminal Island, California 90731.

Lake Union Building, 1700 Westlake Avenue North, Seattle, Washington 98109.

P.O. Box 1668, Juneau, Alaska 99801.

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

Applicants for permits to take, import, transport or sell in interstate or foreign commerce endangered species or marine mammals either for scientific research or public display purposes; for enhancement of propagation or enhancement of survival. Applicants for exemptions from the provisions of the Marine Mammal Protection Act of 1972, on the basis of undue economic hardship. Applicants for permits to engage in activities involving threatened species.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name and address; professional or business affiliation; educational and professional background; other qualifications of the individuals; the activities conducted by an individual as authorized by exemption or by permit; and economic and financial information indicating the degree of anticipated economic hardship.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Endangered Species Act of 1973; 16 U.S.C. 1531-1543 10(a), 10(b), 11(f); Marine Mammal Protection Act of 1972; 16 U.S.C. 1361-1407, and regulations (50 CFR 216.31) promulgated thereunder.

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

See routine use paragraphs 1-5 and 9-13 of Prefatory Statement. Information from the applications is published in the Federal Register and made available to the public to comply with the statutes under which the application is made.

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

Both manual and machine-readable, and computer output records in file folders.

**RETRIEVABILITY:**

Filed by file number and cross-referenced alphabetically by applicant names and permit or exemption number.

**SAFEGUARDS:**

Records are located in cabinets with full public access upon request.

**RETENTION AND DISPOSAL:**

Records are maintained indefinitely.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Office of Marine Mammals and Endangered Species, National Marine Fisheries Service, National Oceanic and Atmospheric Administration, U.S. Department of Commerce, Washington, D.C. 20235

**NOTIFICATION PROCEDURE:**

Information may be obtained from the Assistant Administrator for Management and Budget, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name and address pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification procedure section above.

**CONTESTING RECORD PROCEDURES:**

The rules for access, for contesting contents and appealing initial determination by the individuals concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual applicants; public comments on an application; reviews by NMFS Offices and, in the case of marine mammals, the Marine Mammal Commission; reports from Federal agents and observers on activities conducted under permit authority; and those authorized by the individual to provide the information.

**COMMERCE/NOAA-13****SYSTEM NAME:**

Personnel, Payroll, Travel, and Attendance Records of the Regional

Fishery Management Councils—  
COMMERCE NOAA-13.

**SYSTEM LOCATION:**

New England Fishery Management Council, Office of the Executive Director, Suntaug Office Park, Five Broadway—Route One, Saugus, Massachusetts 01906.

Mid-Atlantic Fishery Management Council, Office of the Executive Director, Federal Building, Room 2115, North and New Streets, Dover, Delaware 19901.

South Atlantic Fishery Management Council, Office of the Executive Director, Southpark Building, Suite 306, 1 Southpark Circle, Charleston, South Carolina 29407.

Caribbean Fishery Management Council, Office of the Executive Director, Suite 806, Banco de Ponce Building, (Postal Address), P.O. Box 1001, Hato Rey, Puerto Rico.

Gulf of Mexico Fishery Management Council, Office of the Executive Director, Lincoln Center, Suite 881, 5401 West Kennedy Boulevard, Tampa, Florida 33609.

Pacific Fishery Management Council, Office of the Executive Director, 528 S.W. Mill Street, Portland, Oregon 97201.

North Pacific Fishery Management Council, Office of the Executive Director, Suite 32, 333 West Fourth Avenue, (Postal Address), P.O. Box 3136DT, Anchorage, Alaska 99501.

Western Pacific Fishery Management Council, Office of the Executive Director, Room 1506, 1164 Bishop Street, Honolulu, Hawaii 96813.

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

Members of each Regional Fishery Management Council, members of each Council's Scientific and Statistical Committee, members of each Council's Advisory Panel; each Council's staff.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

a. Personnel information including but not limited to name, birthdate, social security number, employment history, education and training, personnel actions and performance appraisals, records relating to life insurance, health benefits, and designation of beneficiary, medical records.

b. Payroll information including but not limited to marital status, mailing address, number of dependents, allotments and deductions for income tax withholding, savings bonds, charity contributions, and insurance premiums.

c. Travel orders and vouchers including data such as destination, itinerary, mode and purpose of travel, expense incurred.

d. Time and attendance data including number of regular, overtime holiday, Sunday, and other hours worked; number of hours on leave (sick, annual, holiday, etc.).

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Fishery Conservation and Management Act of 1976 (P.L. 94-265, 16 U.S.C. 1852).

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

These records are used as indicated below:

a. See routine use paragraphs in Prefatory Statement 1-5, 9, 12 and 13 in Prefatory Statement.

b. When an individual to whom a record pertains dies, information in the individual's record may be disclosed to the person appointed as representative of the estate, to the person designated by the representative, or to a designated beneficiary. When a representative of the estate has not been appointed, the next of kin may be recognized as the representative of the estate.

c. Information may be disclosed to authorize payroll deductions for allotments, savings bonds, charitable contributions, union dues, health benefits and life insurance; collect indebtedness for overpayment of salary and unpaid internal revenue taxes; pay income tax obligations to the Internal Revenue Service and state and local tax authorities, as appropriate; authorize mailing or holding salary checks or savings bonds; authorize issuing of salary checks by the Treasury Department; obtain reimbursement of travel expenses for official business; report gross wages and separation information for unemployment compensation; pay any uncollected compensation due a deceased employee; and provide for a summary of employees payroll data and retirement contributions.

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

**STORAGE:**

Paper records in file folders and magnetic storage media.

**RETRIEVABILITY:**

Alphabetically by name, or by social security number.

**SAFEGUARDS:**

Physical, technical, and administrative security is maintained, with all storage equipment and/or rooms locked when not in use. Admittance is restricted to authorized

personnel only. All payroll personnel, computer operators and programmers are instructed and cautioned on the confidentiality of the records.

**RETENTION AND DISPOSAL:**

Retained on site until after GAO audit, then either disposed of or transferred to Federal Records Storage Centers in accordance with the fiscal records program approval by GAO, as appropriate, or General Record Schedules of GSA.

**SYSTEM MANAGER(S) AND ADDRESS:**

The Executive Director of each Council; address as shown under system location above.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: The Executive Director of the appropriate Regional Fishery Management Council or the Assistant Administrator for Management and Budget, NOAA, 6010 Executive Boulevard, Rockville, Maryland 20852. Requester should provide name and other identifying information pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals, those authorized by the individual to furnish information; employee's supervisor; timekeepers.

**COMMERCE/NTIA-1**

**SYSTEM NAME:**

Radio Spectrum Management Career Development Program—COMMERCE/NTIA-1.

**SYSTEM LOCATION:**

National Telecommunications and Information Administration, 1325 G Street, N.W., Washington, D.C. 20005 (paper); and 179 Admiral Cochrane Drive, Annapolis, Maryland 21401 (magnetic disc).

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

Applicants for spectrum management career training; persons trained or training in the program; persons

employed in the Federal spectrum management field, or seeking employment therein, who register with the program.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Employee Career Appraisals; Career Program Qualification Records and Supplements thereto; Career Plans; Personal Qualification Statements; Federal Employment Application. These records contain information about an individual and his skills and qualifications for training which typically includes, but is not limited to, name, address, date of birth, Social Security Account Number, education, military experience; present position, employment history, performance evaluations, and career goals.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

47 U.S.C. 305, Executive Order 12046 and Reorganization Plan No. 1 of 1977.

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

Information is disclosed to participating Federal agencies upon their request in connection with the selection of candidates for training, the evaluation of trainees, and in the administration of the training program. Information is disclosed to other Federal agencies upon their request in connection with the availability of trained spectrum managers for employment. Routine uses #1-5 and #8-13 of the Prefatory Statement also apply.

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

**STORAGE:**

Paper records in file folders.

**RETRIEVABILITY:**

Stored alphabetically by name.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Unless updated, documents are disposed of after two years.

**SYSTEM MANAGER(S) AND ADDRESS:**

Coordinator, Radio Spectrum Management Career Development Program, National Telecommunications and Information Administration, U.S. Department of Commerce, Washington, D.C. 20504.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Privacy Officer, National

Telecommunications and Information Administration, U.S. Department of Commerce, Washington, D.C. 20504. Requestor should provide his or her full name.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: Same address as stated in the Notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use address in Notification section, above.

**RECORD SOURCE CATEGORIES:**

Applicants for spectrum management career training; trainees in the program; instructors and other officials conducting the program; Federal government employees in the spectrum management field, and persons desiring such employment, who register with the program, their supervisors, and other officials of the agencies that employ them.

**COMMERCE/NTIS-1**

**SYSTEM NAME:**

Individuals Interested in NTIS Publications, Shipped Order Addresses, Customer Account Records, and Subscriber Files—COMMERCE/NTIS-1.

**SYSTEM LOCATION:**

(Automated Data Processing Division & Document Distribution and Reproduction Division,) OFFICE OF COMPUTER AND COMMUNICATIONS SERVICE AND DOCUMENT SERVICES DIVISION, NTIS, 5285 Port Royal Road, Springfield, Va. 22161.

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

All individuals who order and/or purchase products and services from NTIS and all individuals who have requested (that they be placed on the NTIS promotional mailing list) NTIS PROMOTIONAL LITERATURE.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name; address; items ordered; items sent; amount of purchases, date order received; date order mailed; NTIS deposit account or customer code number; total charge to date; whether account collectible or not; categories of publications ordered by each purchaser; when subscription expired; amount on deposit.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

15 U.S.C. 1151-57; 41 U.S.C. 104, 44 U.S.C. 3101.

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

Records maintained in the system are disclosed to NTIS sales agents; and to individuals, organizations, Federal agencies, and State and local governments contributing publications to NTIS for their market research and sales accounting purposes, through the mechanism of providing them the names and addresses of individuals (and others) who have purchased their publications. Also see general routine uses (#1 through 6, #8 through 10, and #12 of Prefatory Statement noticed in the Federal Register on October 2, 1975 (40 FR 45635), and amended on November 7, 1975 (40 FR 52074) and August 17, 1976 (41 FR 34805), #4, #5, #9 and #13 OF PREFATORY STATEMENT.

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

**STORAGE:**

Paper records in file folders, film files, magnetic tape and disc files.

**RETRIEVABILITY:**

Filed by individual identifier such as deposit account number or credit card account number.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets or in metal tape vaults in secured rooms or premises with access limited to those whose official duties require access. THE DATA CAN ALSO BE OBTAINED AT IN-HOUSE COMPUTER TERMINALS USED BY THOSE WHOSE OFFICIAL NTIS DUTIES REQUIRE ACCESS.

**RETENTION AND DISPOSAL:**

Records are updated regularly and maintained indefinitely.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, (Automated Data Processing Division) OFFICE OF COMPUTER AND COMMUNICATIONS SERVICES, NTIS, (5285 Port Royal Road,) Springfield, Va. 22161.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Associate Director for Financial and Administrative Management, NTIS, ((Sills Building,)) Springfield, Va. 22161. Requester should provide name and address in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals and NTIS transaction files.

**COMMERCE/NTIS-2****SYSTEM NAME:**

Employee Daily Time and Production Reports—COMMERCE/NTIS-2.

**SYSTEM LOCATION:**

Reports and Analysis Division, National Technical Information Service, Springfield, Va. 22161, and individual NTIS supervisors and managers with respect to employees supervised and programs managed.

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

Current and former NTIS employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name; social security number; organization unit; duty hours and work units processed by day and accounting project; time in duty status; time on leave; work volumes completed by individuals and by work unit.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

15 U.S.C. 1151-57, 1525-27, 31 U.S.C. 66a; 44 U.S.C. 3101.

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

Records in this system are not disclosed as a routine use to individuals or parties outside the U.S. Department of Commerce.

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

Paper records and magnetic tape and disc files.

**RETRIEVABILITY:**

By name and/or employee social security number.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets, desks or secured in the Office of Computer and Communications Services with access

limited to those whose specific duties require access.

**RETENTION AND DISPOSAL:**

Records held by individual managers and supervisors are destroyed after not more than one year; records at other system locations are retained until after GAO audit, or not longer than three years, and then transferred to GSA for disposal.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Reports and Analysis Division, National Technical Information Service, Springfield, Va. 22161.

**NOTIFICATION PROCEDURES:**

Information may be obtained from Associate Director for Financial and Administrative Management, National Technical Information Service, Springfield, Virginia 22161. Requester should provide name, social security number and time of employment pursuant to the inquiry provisions of the Department's Rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURE:**

Requests from individuals should be addressed to same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals; NTIS timekeeper, supervisors and managers.

**COMMERCE/PAT-TM-1****SYSTEM NAME:**

Attorneys and Agents Registered to Practice Before the Office—COMMERCE/PAT-TM-1.

**SYSTEM LOCATION:**

Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202, and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

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

Attorneys and agents who are, or have been, registered to practice before the Patent and Trademark Office in patent cases, and applicants for such registration to practice.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Biographical information, personal and professional qualifications,

character and fitness reports, undertakings of former examiners, current address, and status information.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1, 6, and 31.

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

See Prefatory Statement of General Routine uses #1-5 and #8-13. Also, a public roster of the registered individuals is published periodically, and limited information is disseminated by Committee on Enrollment staff in response to inquiries from members of the public (e.g., potential clients), state bars, and courts.

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

Paper records in file folders and magnetic storage media.

**RETRIEVABILITY:**

Filed alphabetically by name or registration number.

**SAFEGUARDS:**

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chairman, Committee on Enrollment, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name, address, and date of application, if known, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b.

**RECORD SOURCE CATEGORIES:**

Subject individual, references, and those authorized by the individual to furnish information.

**COMMERCE/PAT-TM-2****SYSTEM NAME:**

Complaints, Investigations and Disciplinary Proceedings Relating to Registered Patent Attorneys and Agents—COMMERCE/PAT-TM-2.

**SYSTEM LOCATION:**

Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

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

Attorneys and agents registered to practice before the Patent and Trademark Office in patent cases, and disbarred or suspended attorneys and agents.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Complaints and information obtained during investigations and quasi-judicial disciplinary proceedings.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1, 6, and 32.

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

See Prefatory Statement of General Routine Uses #1-5, #8-10 and #13. Also, dissemination of information concerning the complaint, investigation, or disciplinary proceeding, by the Solicitor's staff, to the complainant, to persons who can reasonably be expected to provide information needed in connection with the complaint, investigation, or disciplinary proceeding, and, upon inquiry, to state bars and courts.

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

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Solicitor, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name and identification data pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals, clients of same, registered attorneys and agents, witnesses in disciplinary proceedings, court opinions, and those authorized by the individual to furnish information.

**COMMERCE/PAT-TM-3****SYSTEM NAME:**

Employee Production Records—COMMERCE/PAT-TM-3

**SYSTEM LOCATION:**

Office of Management and Organization, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

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

Employees of the Patent and Trademark Office.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Employee name and number, position and grade level, time in duty status, time on leave, duty hours distributed by task, receipt date of oldest item in processing queue, beginning and ending balances of work in process, work volumes compiled by organization and in some organizations by individuals, and comparative data on current production compared with earlier periods.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301 and 35 U.S.C. 6.

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

See Prefatory Statement of General Routine Uses #1-5 and #9-13.

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

Paper records in file folder, microfilm and magnetic storage media.

**RETRIEVABILITY:**

Filed by organizations; cross referenced for access by name.

**SAFEGUARDS:**

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Office of Management and Organization, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide employee name and number, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURE:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual, those authorized by the individual to furnish information, and the individual's supervisors.

**COMMERCE/PAT-TM-4****SYSTEM NAME:**

Government Employee Invention Rights—COMMERCE/PAT-TM-4.

**SYSTEM LOCATION:**

Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

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

Government employees who are inventors or nongovernment employees who are joint inventors together with a government employee inventor.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Invention rights questionnaires including information as to the inventor's employment status and his official duties and responsibilities at the time the invention was made, title determinations, appeals to the Commissioner, and petitions for reconsideration.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1 and 6, and E.O. 10096, dated January 23, 1950.

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

See prefatory Statement of General Routine Uses #1-5 and #8-13. Also, information is transferred to various Government departments and agencies in connection with determinations made as to respective property rights (or the methods of protection thereof) of Government employees and such departments and agencies in and to inventions made by such employees.

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

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by name and case number.

**SAFEGUARDS:**

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Head, Office of Government Employee Inventions, Office of the

Solicitor, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name (and case number, if known) pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual and their employees, and those authorized by the individual to furnish information.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(1), Government Employee Invention Rights records which relate to applications or inventions subject to a secrecy order pursuant to 35 U.S.C. 181 or are otherwise subject to security classification pursuant to E.O. 12065 or the Atomic Energy Act of 1954; are exempted from the notification, access, and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is made to prevent disclosure of information which might be detrimental to national security and in accordance to agency rules, which are published in the Rules Section of this Federal Register.

**COMMERCE/PAT-TM-5****SYSTEM NAME:**

Non-Registered Persons Rendering Assistance to Patent Applicants—COMMERCE/PAT-TM-5.

**SYSTEM LOCATION:**

Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

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

Persons other than registered attorneys or agents who have offered or rendered, for payment, various services to inventors, patent applicants and patentees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Declarations of assistance received and other reports or complaints, including names and addresses, of persons rendering services, and information given and used for investigatory and law enforcement purposes.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1, 6, and 33; 5 U.S.C. 301; 28 U.S.C. 533-535; 44 U.S.C. 3101; and E.O. 10450.

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

Providing notice to patent applicants, by Solicitor's staff, regarding whether or not the persons from whom assistance was received are registered to practice before the Office. Used by Solicitor's Staff for investigative purposes. Also, see Prefatory Statement of General Routine Uses #1-5, #8-10 and #13.

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

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by name.

**SAFEGUARDS:**

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Solicitor, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requesters should provide name and address, and name of patent applicants, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Patent applicants who have received and paid for services by the individuals on whom the records are maintained.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(2), all investigatory materials in the record which meet the criteria in 5 U.S.C. 552a(k)(2) are exempted from the notice, access, and contest requirements (under 5 U.S.C. 552a(c)(3), (d), (e), (f), (g), (h), and (i), and (j)), of the agency regulations because of the necessity to exempt this information and material in order to accomplish the law enforcement function of the agency, to prevent subjects of investigations from frustrating the investigatory process, to prevent the disclosure of investigative techniques, to fulfill commitments made to protect the confidentiality of sources, to maintain access to sources of information, and to avoid endangering these sources and law enforcement personnel.

**COMMERCE/PAT-TM-6****SYSTEM NAME:**

Parties Involved in Patent Interference Proceedings—COMMERCE/PAT-TM-6.

**SYSTEM LOCATION:**

Board of Patent Interferences, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

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

Applicants for patent and patentees who become involved in a conflict involving the question of priority of invention.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

All records relating to the declaration, conduct, and termination of interference proceedings, including, but not limited to: preliminary statements, motions, testimony and settlement agreements. The data contained in the records may include information relating to the applicant's or patentee's name, age, citizenship, residence, educational and work background, physical and mental health, activities relating to conception and reduction to practice of the contested subject matter, and other matters which may arise during the conduct of the interference proceeding

or in connection with any agreements made by the parties relative to the interference proceeding.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1, 6, 23, 24, and 135.

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

Records relating to interferences which involve a patent are open to public inspection after an award of priority by the Board of Patent Interferences as to all parties, or, if none, after termination of the interference. Records relating to interferences which do not involve a patent are open to public inspection after the interference has terminated and one of the applications involved has issued a patent. Otherwise, information concerning these records is provided outside the Office only upon authorization of the applicants or owners of the applications or patents involved, or when necessary to carry out the provisions of any act of Congress or in such special circumstances as may be determined by the Commissioner. Copies of settlement agreements filed under 35 USC 135(c) are kept separate from other interference records if the party filing them so requests, and are made available, as provided in the statute, only to Government agencies on written request or to any person on a showing of good cause. Also see routine use paragraphs of the Prefatory Statement.

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

Paper records in file folders.

**RETRIEVABILITY:**

Filed by Interference Number, cross-indexed to the names of the parties.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chairman, Board of Patent Interferences, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requesters should provide name and address, and Interference Number, if known, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Applicants for patent and patentees, the patent attorneys or agents authorized by such persons to represent them, those authorized by the applicant to furnish information, and witnesses and other parties involved in the taking of testimony.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(1), Patent Interference Proceedings records which relate to applications subject to a secrecy order pursuant to 35 U.S.C. 181 or are otherwise subject to security classification pursuant to E.O. 12065 or the Atomic Energy Act of 1954, are exempted from the notification, access, and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is made to prevent disclosure of information which might be detrimental to national security and in accordance to agency rules, which appear in 15 CFR Part 4b.

**COMMERCE-PAT-TM-7****SYSTEM NAME:**

Patent Application Files—COMMERCE/PAT-TM-7 (Note: This notice is broken down, where indicated, into three subsystems relating to the status of the files: a. Pending; b. Abandoned; and c. Patented.)

**SYSTEM LOCATION:**

a. U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; National Underground Storage, Boyers, Pa. 16020; Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va.

22202; and Customer Services Division, U.S. Department of Commerce, Washington, D.C. 20230; b. Abandoned Files Unit, Office Services Division, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; c. Record Branch, Patent Search Division, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of Automatic Data Processing Management, Computer Center, U.S. Department of Commerce, Washington, D.C. 20230.

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

Applicants for patent, including inventors, legal representatives for deceased or incapacitated inventors, and other persons authorized by law to make applications for patent.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Oath or declaration of applicant including name, citizenship, residence, post office address and other information pertaining to the applicant's activities in connection with the invention for which a patent is sought. Statements containing various kind of information with respect to inventors who are deceased or incapacitated, or who are unavailable or unwilling to make application for patent.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1, 6, and 115; 5 U.S.C. 301.

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

a. Information concerning these records is provided outside the Office only upon authorization of the applicant or owner of the application or when necessary to carry out the provisions of any act of Congress or in such special circumstances as may be determined by the Commissioner, e.g. files referred for secrecy order determination under 35 U.S.C. 181. b. Same as a., except where application is referred to in a U.S. Patent, in which case the record is open to public inspection. c. Records are open to public inspection.

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

All three subsystems are also subject to the routine use paragraphs No. 1-5 and No. 8-13 of the Prefatory Statement.

**STORAGE:**

Paper records in file folders, microfilm and magnetic storage media.

**RETRIEVABILITY:**

Subsystems a. and b. filed by serial number, cross-indexed to name of applicant. Subsystem c. filed by patent number, cross-indexed to name of applicant.

**SAFEGUARDS:**

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

a. Assistant Commissioner for Patents, U.S. Patent and Trademark Office, Washington, D.C. 20231; b. Director, Office of General Services, U.S. Patent and Trademark Office, Washington, D.C. 20231; c. Director, Office of Patent and Trademark Services, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name of applicant or patentee and Serial Number or Patent Number, if known, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to; same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appears in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

The inventors or other persons who submit applications for patent and the patent attorneys or agents authorized by such inventor or other persons to represent them.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(1), Patent Applications, to the extent that they are subject to a secrecy order pursuant to 35 U.S.C. section 181 or are otherwise subject to security classification pursuant to E.O. 12065 or the Atomic Energy Act of 1954 are exempted from the notification, access and content requirements of the agency procedures (under 5 U.S.C. 552((c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is made to prevent disclosure of information which might be detrimental to national security and in accordance to agency rules which appear in 15 CFR Part 4b.

**COMMERCE/PAT-TM-8**

**SYSTEM NAME:**

Patent Application Secrecy Order Files—COMMERCE/PAT-TM-8.

**SYSTEM LOCATION:**

Patent Examining Operation, Group 220, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

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

Applicants including inventors, legal representatives for deceased or incapacitated inventors, and other persons authorized by law to make applications for patent.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Identification of patent application and applicant including application serial number, filing date, title of invention, applicant's or inventor's address and addresses of applicant's duly appointed representatives.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1, 6, and 181 through 183.

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

Referral to authorized Government agencies under 35 U.S.C. 181 for determination of the requirement for a secrecy order, and notification of the applicant or his duly appointed representative of such secrecy order. Also, see Prefatory Statement of General Routine Uses #1-5, #8-10, and #13.

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

Paper records in file folders.

**RETRIEVABILITY:**

Filed by application serial number, cross-indexed to name of applicant.

**SAFEGUARDS:**

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained, and stored in a locked vault.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Patent Examining Group 220, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name and social security or Patent Number, if known, pursuant to the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject applicants or their representatives and authorized representatives of the Department of Energy, the Secretary of Defense, and the Chief Officer of any other department or agency of the Government designated by the President as a defense agency of the United States.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(1), these records, since they relate to determinations pertinent to secrecy orders pursuant to 35 U.S.C. 181 or to security classification pursuant to E.O. 12065 or the Atomic Energy Act of 1954 are exempted from the notification,

access, and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is made to prevent disclosure of information which might be detrimental to national security and in accordance to agency rules which appear in 15 CFR Part 4b.

**COMMERCE/PAT-TM-9****SYSTEM NAME:**

Patent Assignment Records—  
COMMERCE/PAT-TM-9.

**SYSTEM LOCATION:**

Office of Patent and Trademark Services, Assignment Division, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202; Patent Examining Operation Group 220, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

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

Persons who have given or received property rights under an application for patent or a patent by means of a written instrument recorded in the Patent and Trademark Office. Deceased or incapacitated inventors and their legal representatives.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Assignments, grants, mortgages, liens, encumbrances, licenses, and other instruments affecting title. Letters testamentary and other court certificates and orders.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1, 6, and 261, and E.O. 9424.

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

See Prefatory Statement of General Routine Uses #1-5 and #8-13. Statement. Records open to the public are searched by users for the purpose of determining ownership for other property rights with respect to patents and trademarks. On the separate Government Register, records categorized as "Public" are available for public inspection; those records categorized as "Departmental" are used by duly authorized employees of Government agencies; and those records designated as "Secret" are disclosed only to persons having written authority from the head of the agency submitting the record. Assignment records relating to pending patent applications are

maintained in confidence in accordance with 5 U.S.C. 122.

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

Paper files, microfilm reels, index card files and magnetic storage media.

**RETRIEVABILITY:**

Filed by inventor's name, application serial number, assignee's name, assignor's name, and patent number.

**SAFEGUARDS:**

Building employs security guards. Records subject to confidence requirements are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained. Records in the Secret Portion of the Government Register are, additionally, stored in a locked vault. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Recording Officer, Assignment Division, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requesters should provide assignee's or assignor's name(s) and application serial number, if known, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURE:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Persons who have submitted written instruments to the Patent and Trademark Office for recording.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

Pursuant to 5 U.S.C. 552a(k)(1), assignment records which are designated "Secret" and maintained in the Government Register pursuant to E.O. 9424 are exempted from the notification, access, and contest requirements of the agency procedures (under 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), (H), and (I), and (f)). This exemption is made to prevent disclosure of information which might be detrimental to national security and in accordance with agency rules which appear in 15 CFR Part 4b.

**COMMERCE/PAT-TM-10****SYSTEM NAME:**

Patent Deposit Accounts System—  
COMMERCE/PAT-TM-10.

**SYSTEM LOCATION:**

Receipts Control Division, Office of Finance, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

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

Registered patent attorneys and agents and other members of the public who maintain deposit accounts to pay the cost of services rendered by the Patent and Trademark Office.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, address, account number, and financial transactions with the Office.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1, 6, and 41.

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

See Prefatory Statement of General Routine Uses #1-5, #9-10 and #13.

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

Microfilm and magnetic storage media.

**RETRIEVABILITY:**

Filed by name, account number.

**SAFEGUARDS:**

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Where information is retrievable by terminal, all safeguards.

appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Office of Finance, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requesters should provide name and account number in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURE:**

Request from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals and those authorized by the individual to furnish information.

**COMMERCE/PAT-TM-11****SYSTEM NAME:**

Patent Examiner Testimony Files—  
COMMERCE/PAT-TM-11.

**SYSTEM LOCATION:**

Office of the Solicitor, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

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

Employees and former employees who have testified in person or through deposition in court actions in regard to duties performed while employed by the Patent and Trademark Office, or who have been interviewed to determine whether such testimony will be taken.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, address, employment status, education, work experience, and other matters which might be raised in the course of a deposition or other testimony.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1 and 6; 5 U.S.C. 301.

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

See Prefatory Statement of General Routine Uses #1-5 and #9-13.

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

Paper copy.

**RETRIEVABILITY:**

Filed alphabetically by name.

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

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Solicitor, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name and date(s) of testimony or interview, if known, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURE:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual, the individual's co-workers, and those authorized by the individual to furnish information.

**COMMERCE/PAT-TM-12****SYSTEM NAME:**

Patent Subscription Service System—  
COMMERCE/PAT-TM-12

**SYSTEM LOCATION:**

U.S. Patent and Trademark Office,  
Office of Patent and Trademark  
Services, 2021 Jefferson Davis Highway,  
Arlington, Virginia 22202.

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

Individuals subscribing to copies of patents, trademarks, designs, defensive publications, and related publications issued in certain classes or subclasses.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name of subscriber, Deposit Account Number, address, classes or subclasses subscribed to, total number of subclasses subscribed to; and initial payment per year. Weekly listings of patent, trademark, design, defensive publication, and related publication numbers for each subscription order.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 41; 5 U.S.C. 301.

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

See Prefatory Statement of General Routine Uses #4-5, #9-10 and #13.

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

On magnetic tape and computer printout.

**RETRIEVABILITY:**

Subscriber's name and account number.

**SAFEGUARDS:**

Maintained in areas accessible only to authorized personnel in building protected by security guards nonbusiness hours.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director of Office of Patent and Trademark Services U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name and Deposit Account Number in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals and those authorized by the individual to furnish information.

**COMMERCE/PAT-TM-13****SYSTEM NAME:**

Petitioners for License to File for Foreign Patents—COMMERCE/PAT-TM-13.

**SYSTEM LOCATION:**

Patent Examining Operation, Group 220, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202; and Office of ADP Administration, U.S. Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Va. 22202.

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

Petitioners for license to file a patent application in any foreign country.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Petitioner's name, address, and description of subject matter, or, where a corresponding U.S. application has been filed, identification of applicant, application serial number, filing date, title to invention, applicant's address and addresses of applicant's duly appointed representatives.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

35 U.S.C. 1, 6, and 184.

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

See Prefatory Statement of General Routine Uses #1-5, #8-10 and #13.

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

Paper copy and magnetic storage media.

**RETRIEVABILITY:**

By number assigned called P number and by serial number related to P number when additional matter is submitted in connection with a corresponding U.S. application, cross-indexed to petitioner's name.

**SAFEGUARDS:**

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Where information is retrievable by terminal, all safeguards appropriate to secure the ADP telecommunications system (hardware and software) are utilized.

**RETENTION AND DISPOSAL:**

Records retention and disposal is in accordance with the unit's Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Patent Examining Group 220, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requester should provide name and serial number or P number, if known, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individuals or their duly appointed representatives.

**COMMERCE/PAT-TM-14****SYSTEM NAME:**

Users of Public Search Room of the Patent and Trademark Office—COMMERCE/PAT-TM-14.

**SYSTEM LOCATION:**

Patent and Trademark Office, 2021 Jefferson Davis Highway, Arlington, Virginia 22202.

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

Federal employees other than employees of the Patent and Trademark Office; employees and other representatives of commercial firms offering patent search services to the public; registered agents before the Patent and Trademark Office; and any

member of the general public who uses the search room.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name; home address; business firm or other organizations with which affiliated, as appropriate; user pass number; registration number, if a registered agent before the Patent and Trademark Office; violations of regulations governing use of the search room; and the signature of recipients of user passes, indicating that the recipient has read the regulations governing the use of the search room.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301 and 44 U.S.C. 3101.

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

Information may be disclosed to law enforcement authorities, employers of violators of regulations governing use of the search room, and organizations with which recipients of user passes claim affiliation. Information such as home address or business affiliation, on individuals who have removed, with proper authority, patent documents from the search room but have failed to return such documents, may be used in retrieving such documents. Also, see Prefatory Statement of General Routine Uses #1-5 and #9-13.

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

**STORAGE:**

Paper records in file folders.

**RETRIEVABILITY:**

Alphabetically by name and sequentially by user pass number.

**SAFEGUARDS:**

Records are located in lockable metal file cabinets or in metal file cabinets in secured rooms or secured premises with access limited to those whose official duties require access.

**RETENTION AND DISPOSAL:**

Retained pursuant to Records Control Schedule, with periodic updating or posting of information, when appropriate and necessary.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Office of Patent and Trademark Services, U.S. Patent and Trademark Office, Washington, D.C. 20231.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Assistant Commissioner for Administration, U.S. Patent and Trademark Office, Washington, D.C. 20231. Requesters should provide name and address and date of visit to the search room, in accordance with the inquiry provisions of the Department's rules which appear in 15 CFR Part 4b.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Use above address.

**RECORD SOURCE CATEGORIES:**

Subject individual; employers; and those authorized by individual.

**COMMERCE/WBO-1**

**SYSTEM NAME:**

Talent and Experience File of Women's Business Experts—  
COMMERCE/WBO-1.

**SYSTEM LOCATION:**

Office of Administrative Services, U.S. Department of Commerce, 14th & E Streets and Constitution Avenue, N.W., Washington, D.C. 20230.

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

Individuals; with whom the Task Force communicated; having knowledge of women's business operations, problems and discriminations; or having special skills which would be of assistance to the Task Force.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Personal background data normally including name, age, address, telephone numbers, Social Security number, business and work experience, educational background, professional association memberships, publications and information on areas of expertise.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; 15 U.S.C. 1512; 44 U.S.C. 3101.

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

Information is disclosed to other Federal agencies upon their request to provide names and addresses of individuals who possess special skills or expertise related to the problems of women business owners. General routine uses 4, 5, 9, and 13 in the Prefatory Statement also apply.

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

**STORAGE:**

Paper records in file folders.

**RETRIEVABILITY:**

Filed alphabetically by individual's name.

**SAFEGUARDS:**

Records are on premises with access limited to individuals whose official duties require access.

**RETENTION AND DISPOSAL:**

Retained on site for five (5) years and then disposed of, in accordance with the Office of the Secretary Records Control Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Deputy Under Secretary for Regional Affairs, Office of the Secretary, U.S. Department of Commerce, Washington, D.C. 20230.

**NOTIFICATION PROCEDURE:**

Information may be obtained from: Director, Office of Organization and Management Systems, U.S. Department of Commerce, Washington, D.C. 20230.

**RECORD ACCESS PROCEDURES:**

Requests from individuals should be addressed to: same address as stated in the notification section above.

**CONTESTING RECORD PROCEDURES:**

The Department's rules for access, for contesting contents, and for appealing initial determinations by the individual concerned appear in 15 CFR Part 4b. Requests from individuals should be addressed as stated in the notification section above.

**RECORD SOURCE CATEGORIES:**

Subject individual; those authorized by the individual to furnish information; public reference sources; government, private and public interest organizations./\*

[FR Doc 81-37275 Filed 12-30-81; 8:45 am]

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