
SUMMARY: Pursuant to the Privacy Act of 1974 (5 U.S.C. 552a), the National Science Foundation (NSF) is providing notice of revisions to 13 existing systems and the planned creation of two new systems. These revisions to current systems are being made to include altered and new routine uses, and to more accurately reflect the records contained therein. They are reprinted in their entirety. System NSF–7, “Earnings and Tax Statement (W–2)” is being deleted. The records described therein are covered by a more comprehensive system, NSF–22, “NSF Payroll System.”

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
NSF current and former employees.

CATEGORIES OF RECORDS IN THE SYSTEM:
Name and address, amount requested, and voucher number.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:
5 USC, Chapter 57; 31 USC 1512; Department of the Treasury Fiscal Requirements Manual.

PURPOSE(S):
Establish and maintain Foundation records on administrative control of funds relating to requests for advance of funds.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:
Information from this system may be disclosed to:
1. The Department of Treasury for payment of advance of funds.
2. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
3. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation in which one of the following is a party or has interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.
4. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.
5. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

STORAGE:
Records are maintained electronically.

RETRIEVABILITY:
The records are retrieved by Social Security Number.

SAFEGUARDS:
NSF employs security guards. Building is locked during non-business hours when guard is not on duty. Room in which records are kept is locked during non-business hours. A password is needed for access to the computer system.

RETENTION AND DISPOSAL:
Destroyed four years after settlement of advance.

SYSTEM MANAGER(S) AND ADDRESS:
Director Division of Financial Management, National Science Foundation, 201 Wilson Boulevard, Arlington, VA 22230.

NOTIFICATION PROCEDURE:
The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

RECORD ACCESS PROCEDURES:
See “Notification” above.

CONTESTING RECORD PROCEDURES:
See “Notification” above.

RECORD SOURCE CATEGORIES:
Information is received from individual and his/her office.

SYSTEM EXEMPTIONS FROM CERTAIN PROVISIONS OF THE ACT:
None.

NSF–10

SYSTEM NAME:
Employee’s Payroll Jacket.
THE PURPOSES OF SUCH USES:

1. Health insurance carriers for identifying employees covered by plan.
2. Other agencies upon transfer of employee to identify charitable allotments.
3. Financial institutions for the purpose of direct deposit.
4. The Department of Treasury for the purpose of locating missing bonds or paychecks.
5. The Department of Treasury and to the taxing authorities in the employee's state of residence (W-4 Forms).
6. The NSF Payroll System, which is described in NSF-13. The routine uses listed there are also applicable to this record system.
7. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
8. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its
   10. The Office of Child Support Enforcement, Administration for Children and Families, Department of Health and Human Services Federal Parent Locator System (FPLS) and Federal Tax Offset system.
11. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.
12. Officials of labor organizations recognized under 5 U.S.C. chapter 71, when relevant and necessary to their duties of exclusive representation.
13. The Merit Systems Protection Board or the Office of the Special Counsel in connection with appeals, investigation of alleged or possible prohibited personnel practices, and such other function's promulgated in 5 U.S.C. 1205 and 1206 or as may be authorized by law.
14. The Department of Labor in connection with an employee claim for compensation or an injury or illness.
15. The American Federation of Government Employees and Local 3403 in connection with union dues paid by members.
16. To the extent any of these records are duplicative of those described in OPM/GOVT-1 (General Personnel Records), the routine uses described therein are also applicable.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

NSF current and former employees (including consultants).

CATEGORIES OF RECORDS IN THE SYSTEM:

Personnel actions, Federal and State Withholding Certificates, Bond Authorizations, Health Benefit Forms, Life Insurance Forms, Allotment Forms, and other similar items related to an employee's pay and deductions.

SYSTEM LOCATION:

National Science Foundation, Division of Financial Management, Payroll Section, 4201 Wilson Boulevard, Arlington, VA 22230.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:


SYSTEM NAME:

NSF-13 Fellowship Payroll.

NOTIFICATION PROCEDURE:

The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

RECORD ACCESS PROCEDURES:

See “Notification” above.

CONTESTING RECORD PROCEDURES:

See “Notification” above.

RECORD SOURCE CATEGORIES:

NSF Personnel Office, and forms prepared by individual employees.

SYSTEM EXEMPTIONS FROM CERTAIN PROVISIONS OF THE ACT:

None.

RETRIEVABILITY:

Alphabetically by last name of employee.

SAFEGUARDS:

NSF employs security guards.

RECORD STORAGE:

Paper records maintained in file folder.

STORAGE:

None.

SYSTEM LOCATION:

National Science Foundation, Division of Financial Management, Payroll Section, 4201 Wilson Boulevard, Arlington, VA 22230.

CATEGORIES OF RECORDS IN THE SYSTEM:

Copies of fellowship award letter, acceptance form, starting certificates, and records of payments of stipends.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

42 U.S.C. 1861; Department of the Treasury Fiscal Requirements Manual;
GAO Manual, Title 6—Pay, Leave and Allowances.

PURPOSES:
This system enables the NSF to maintain all data that apply to the payment of fellowship payroll in a single location and ensures that appropriate payments are made.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:
Information from this system may be disclosed to:
1. The Department of Treasury for the purpose of issuing the payment directly to the financial account of the payee.
2. Financial institutions for purpose of direct deposit.
3. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
4. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when the Department of Justice is a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
5. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

SYSTEM MANAGER(S) AND ADDRESS:
Director, Division of Financial Management, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

NOTIFICATION PROCEDURE:
The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

RECORD ACCESS PROCEDURES:
See “Notification” above.

CONTESTING RECORD PROCEDURES:
See “Notification” above.

RECORD SOURCE CATEGORIES:
Information obtained from Fellow.

SYSTEM EXEMPTIONS FROM CERTAIN PROVISIONS OF THE ACT:
None.

NSF–16
SYSTEM NAME:
Individual Retirement Record (SF–2806).

SYSTEM LOCATION:
National Science Foundation, Division of Financial Management, Payroll Section, 4201 Wilson Boulevard, Arlington, VA 22230.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
Current NSF employees.

CATEGORIES OF RECORDS IN THE SYSTEM:
Salary, grade, status changes, yearly and year to date retirement deductions.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

PURPOSE(S):
This system enables the NSF to maintain all data that apply to the salary, and retirement withholdings of each NSF employee.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:
Information from the system may be disclosed to:
1. The Office of Personnel Management annually or when employee separates from NSF to update employee retirements records.
2. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
3. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.
4. The contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.
5. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

STORAGE:
Paper records maintained in file folders. Records are also maintained electronically.

RETRIEVABILITY:
Alphabetically by last name of Fellow.

SAFEGUARDS:
NSF employs security guards. Building is locked during non-business hours when guard is not on duty. Room in which records are kept is locked during non-business hours.

RETENTION AND DISPOSAL:
Destroyed four years after termination of fellowship.

SYSTEM MANAGER(S) AND ADDRESS:
Director, Division of Financial Management.

INITIATIVE PROCEDURES:
The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.
Antarctica.

the course of providing medical
notes, and associated records created in
medical waivers. Medical files, clinic
evaluation associated with requests for
candidates, and any additional tests/
records when performed on winter-over
Includes psychological screening
determining medical qualifications.
and notes by medical reviewers
analyses, EKGs); physical exam notes;
deployment physicals: Medical history,
CATEGORIES OF RECORDS IN THE SYSTEM :
programs.

persons conducting the research
individuals participating in the USAP.
The records are used primarily for
for three purposes: (1) To determine
an individual’s fitness for Arctic/Antarctic
assignment; (2) to assist in determining
an appropriate course of medical/dental
treatment should the individual seek
medical care with any medical care
provider while in the Arctic or
Antarctica; and (3) to provide
documentation for addressing quality of
care issues associated with these
medical functions.

SYSTEM NAME :
Medical Examination Records for
Service in the Polar Regions.

SYSTEM LOCATION:
National Science Foundation, 4201
Wilson Boulevard, Arlington, VA 22230;
Antarctic Support Associates (ASA) and
subcontractors, 61 Inverness Drive East,
Suite 300, Englewood, CO 80112; U.S.
Antarctic facilities; Polar Ice Coring
Office (PICO), University of Nebraska,
Lincoln, Nebraska.

CATEGORIES OF INDIVIDUALS COVERED BY THE
SYSTEM: This system covers all individuals
being considered for Antarctica
assignment (under the auspices of the
USAP), or for assignment to selected,
isolated locations in the Arctic region.
Individuals covered may include NSF
and other government agency
employees, civilian contract employees,
personnel conducting the research
supported by NSF or other entities, and
members of the uniformed services
supporting NSF’s polar research
programs.

Note: Records concerning current and
former federal employees are also covered by
OPM/GOVT–10.

CATEGORIES OF RECORDS IN THE SYSTEM:

Documents relating to pre-deployment physicals: Medical history,
clinical test results (e.g., blood, urine
analyses, EKGS); physical exam notes;
dental exams, X-rays, dentist’s notes;
and notes by medical reviewers
determining medical qualifications.
Includes psychological screening
records when performed on winter-over
candidates, and any additional tests/
evaluation associated with requests for
medical waivers. Medical files, clinic
notes, and associated records created in
the course of providing medical
treatment or consultation by any of the
medical care providers in the Arctic or
Antarctica.


PURPOSE(S) The National Science Foundation’s Office of Program is responsible for ensuring that personnel traveling to Antarctica under the auspices of the United States Antarctic Program (USAP) meet certain medical standards, as outlined in 45 CFR part 675 (62 FR 31521 (June 10, 1997)). Those traveling to selected, isolated locations in the Arctic region must meet similar standards. Candidates for deployment must undergo a medical and dental examination to determine whether they are physically qualified for deployment. Candidates who anticipate spending the austral winter in Antarctica (where evacuation may be impossible) are subject to additional evaluation, including a determination of psychological adaptability to such an isolated environment. This medical screening process requires that certain medical records be generated on individuals participating in the USAP.

The records are used primarily for
three purposes: (1) To determine
an individual’s fitness for Arctic/Antarctic
assignment; (2) to assist in determining
an appropriate course of medical/dental
treatment should the individual seek
medical care with any medical care
provider while in the Arctic or
Antarctica; and (3) to provide
documentation for addressing quality of
care issues associated with these
medical functions.

ROUTINE USES OF RECORDS MAINTAINED IN THE
SYSTEM, INCLUDING CATEGORIES OF USERS AND
THE PURPOSES OF SUCH USES: Information from this system may be disclosed to:
1. Individuals involved in
determining an individual’s fitness for
deployment, or in providing medical
services or treatment. Such individuals
include (a) designated medical care
practitioners and their administrative
support personnel involved in
determining an individual’s fitness for
Arctic/Antarctic assignment, including
waiver requests; and (b) medical care
providers in NSF-supported stations
and field camps in the polar regions
where the individual is assigned;
2. The personal physician or
examining physician of the individual
about whom the records pertain when
disclosure is necessary to obtain
additional information necessary to
make a determination on fitness, or
provide medical treatment;
3. Medical experts either individually
or as a panel to provide expertise and
advice on quality of medical care issues
in the polar regions;
4. Representatives of employing organizations, including academic
institutions, and investigators on a grant
(if a prospective field team member has
requested a waiver) to inform them
whether an individual is approved for
deployment or not.
5. An emergency point of contact
designated by the individual when the
individual seeking deployment is
unreachable and additional information
is needed to order to make a
determination on a waiver request
before deployment deadlines, or when
necessary to provide medical treatment
during deployment;
6. Federal, state, or local agencies, or
foreign governments when disclosure is
necessary to obtain records in
connection with an investigation by the
NSF;
7. Information from the system may
be given to another Federal agency, a
court, or a party in litigation before a
court or in an administrative proceeding
being conducted by a Federal agency
when the Government is a party to the
judicial or administrative proceeding, or
when NSF determines that the litigation
or proceeding is likely to affect the
Agency.
8. The Department of Justice, to the
extent disclosure is compatible with the
purpose for which the record was
collected and is relevant and necessary
to litigation or anticipated litigation, in
which one of the following is a party or
has an interest: (a) NSF or any of its
components; (b) an NSF employee in
his/her official capacity; (c) an NSF
employee in his/her individual capacity
when the Department of Justice is
representing or considering representing
the employee; or (d) the United States,
when NSF determines that litigation is
likely to affect the Agency.

POLICIES AND PRACTICES FOR STORING,
RETRIEVING, ACCESSING, RETAINING, AND
DISPOSING OF RECORDS IN THE SYSTEM:
STORAGE: Paper records are kept in locked file
cabinets or area with limited access.
Records may also be prepared and
maintained in electronic format with
password protection.

RETRIEVABILITY: The records are retrieved by the name
of the individual or by the individual’s
social security number.

SAFEGUARDS: These records are available only to
those persons whose official duties
require such access. They are kept in
locked file cabinets or locations with
limited access. Electronic records are password protected.

RETENTION AND DISPOSAL:
Except for those records covered by OPM/GOVT-10, records are destroyed approximately eight years after the individual’s last Antarctic or Arctic deployment.

SYSTEM MANAGER(S) AND ADDRESS:
Safety and Health Officer, Office of Polar Programs. Point of contact: Associate Program Manager for Safety and Health, Polar Research Support Section, Office of Polar Programs, Office of the Director, National Science Foundation, 4201 Wilson Boulevard, Room 755, Arlington, VA 22230.

NOTIFICATION PROCEDURE:
To determine whether this system of records contains a record pertaining to the requesting individual, write to the system manager at the above address.

RECORD ACCESS PROCEDURES:
See notification procedure.

CONTESTING RECORD PROCEDURES:
Individuals desiring to contest or amend information maintained in this system of records should write to the system manager at the above address.

RECORD SOURCE CATEGORIES:
Information in these records is obtained from individuals who intend to deploy to the Arctic or Antarctica and from personal physicians and medical examiners of the deploying individuals; from NSF staff and NSF records; and from non-NSF persons and records, to the extent necessary to carry out the duties described in the NSF Medical Examination procedures. All individuals desiring to deploy to the Arctic or Antarctica under the auspices of the National Science Foundation must provide the requested information.

SYSTEM EXEMPTIONS FROM CERTAIN PROVISIONS OF THE ACT:
None.

NSF-22

SYSTEM NAME:
NSF Payroll System.

SYSTEM LOCATION:
National Science Foundation, Division of Financial Management, Payroll Section, 4201 Wilson Boulevard, Arlington, VA 22230. Backup files are maintained at off-site location- First Federal Corporation, 4910 Massachusetts Avenue, NW, Suite 16, Washington DC 20016.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
NSF current and former employees (including consultants).

CATEGORIES OF RECORDS IN THE SYSTEM:
Salary, grade, Social Security Number, home address, time and attendance and other related information.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

PURPOSE(S):
Computer System consisting of data base with all information necessary to prepare NSF payroll, purchase of savings bonds, compute leave balances, prepare W-2S, and other similar uses.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:
Information from this system may be disclosed to:
1. The Internal Revenue Service and the Social Security Administration, and other taxing authorities (including such authorities as the employees state of residence.)
2. The Department of Treasury for issuance of salary payments.
3. Financial organizations for the purpose of direct deposit.
4. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.
5. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
6. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.
7. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.
8. Officials of labor organizations recognized under 5 U.S.C. chapter 71, when relevant and necessary to their duties of exclusive representation.
9. The Merit Systems Protection Board or the Office of the Special Counsel in connection with appeals, investigation of alleged or possible prohibited personnel practices, and such other function’s promulgated in 5 U.S.C. 1205 and 1206 or as may be authorized by law.
10. The Department of Labor in connection with an employee claim for compensation or an injury or illness.
11. The American Federation of Government Employees and Local 3403 in connection with union dues paid by members.
12. The Office of Child Support Enforcement, Administration for Children and Families, Department of Health and Human Services Federal Parent Locator System (FPLS) and Federal Tax Offset system:
For use in locating individuals and identifying their income sources to establish paternity, establish and modify orders of support and for enforcement.
For release to the Social Security Administration for verifying social security numbers in connection with the operation of the FPLS by the Office of Child Support Enforcement.
For release to the Department of Treasury for purposes of administering the Earned Income Tax Credit Program (Section 12, Internal Revenue Code of 1986) and verifying a claim with respect to employment in a tax return.
13. To state unemployment agencies in connection with claims for unemployment benefits.
14. To the extent any of these records are duplicative of those described in OPM/GOVT-1 (General Personnel Records), the routine uses described therein are also applicable.

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

STORAGE:
Records are maintained electronically. Individual folders are also maintained on each employee.

RETRIEVABILITY:
May be retrieved by employee number, Social Security Number or last name.

SAFEGUARDS:
NSF security guards. Building is locked during non-business hours when guard is not on duty. Room in which
POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

PURPOSE(S):
To support official international visits by NSF staff, consultants and visitors.

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

1. Embassy for purpose of issuing visas.
2. The State Department for disposition when the passport expires or the employee leaves the Foundation.
3. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administration proceeding.
4. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or its components; (b) and NSF employee in his/her official capacity; (c) an NSF employee is his/her individual capacity when the Department of Justice is Representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely the Agency.
5. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

SYSTEM LOCATION:
National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
Executive NSF staff (Division Directors and above).

CATEGORIES OF RECORDS IN THE SYSTEM:
Biographical information, position held, education, memberships, and publications.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

PURPOSE(S):
To disseminate senior level officials biographical information when requested.

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

Information from this system may be disclosed to newspapers, magazines, professional journals, and others.
SYSTEM MANAGER(S) AND ADDRESS:
Director, Division of Financial Management, Nation Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

NOTIFICATION PROCEDURE:
The NSF Privacy Act Officer should be notified in accordance with procedures found at 45 CFR part 613.

RECORD ACCESS PROCEDURES:
See “Notification” above.

CONTESTING RECORD PROCEDURES:
See “Notification” above.

RECORD SOURCE CATEGORIES:
Information is received from individual.

SYSTEM EXEMPTIONS FROM CERTAIN PROVISIONS OF THE ACT:
None.

NSF–34

SYSTEM NAME:
Integrated Time and Attendance System (ITAS).

SYSTEM LOCATION:
National Science Foundation, Division of Financial Management, Payroll Section, 4201 Wilson Boulevard, Arlington, VA 22230. Paper copies may be maintained in individual offices.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
NSF current and former employees (including consultants).

CATEGORIES OF RECORDS IN THE SYSTEM:
Records include documents related to employee’s attendance, leave, and overtime. It also includes Social Security Number.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:
5 U.S.C., Chapters 61 and 63; Department of the Treasury Requirements Manual; GAO manual, Title 6—Pay, Leave and Allowances

PURPOSE(S):
This system enables the NSF to maintain all data which apply to the time and attendance of each NSF employee. Information incorporated into the “NSF Payroll System,” NSF–22.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:
Information from this system may be disclosed to:
Information from this system is incorporated into the “NSF Payroll System” described in NSF–22. The routine uses listed in that system are also applicable to this system.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:
STORAGE:
Records are maintained electronically.

RETRIEVABILITY:
Filed by NSF employee identification number during current pay year and alphabetically by last name, thereafter.

SAFEGUARDS:
NSF employs security guards. Building is locked during non-business hours when guard is not on duty. Room in which records are kept is locked during non-business hours. A password is needed to access the computer system.

RETENTION AND DISPOSAL:
Employee information is deleted at the end of the year in which employee leaves the Foundation. Cumulative information is kept on master tapes and maintained in NSF, and at off-site location and destroyed after five years.

SYSTEM MANAGER(S) AND ADDRESS:
Director, Division of Financial Management, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

NOTIFICATION PROCEDURE:
The Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

RECORD ACCESS PROCEDURES:
See “Notification” above.

CONTESTING RECORD PROCEDURES:
See “Notification” above.

RECORD SOURCE CATEGORIES:
Information input by employee, verified by timekeeper and approved by supervisor in individual offices.

SYSTEM EXEMPTIONS FROM CERTAIN PROVISIONS OF THE ACT:
None.

NSF–38

SYSTEM NAME:
Visa Applications and Alien Application for Consideration of Waiver of Two-Year Foreign Residence Requirements—NSF.

SYSTEM LOCATION:
National Science Foundation, Division of International Programs, 4201 Wilson Boulevard, Arlington, VA 22230.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
Aliens subject to conditions of section 212(e) of the Immigration and Nationality Act, seeking waiver of two-year foreign residence requirements, in order to apply for immigrant or temporary worker status.

CATEGORIES OF RECORDS IN THE SYSTEM:
Curriculum vitae, next of kin, correspondence and employment data.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:
Section 212(e) of the Immigration and Nationality Act.

PURPOSES:
To determine whether NSF supports the waiver request.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:
Information from this system may be released to:
1. The U.S. Information Agency, the agency responsible for issuing the visas.
2. The institution or organization requesting the waiver.
3. Contractors, grantees, volunteers and other individuals who perform a service to or perform on or under a contract, grant, cooperative agreement, or other arrangement for the Federal government, as necessary to carry out their duties.
4. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
5. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.
6. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.
7. NSF analysis and recommendation is released to the organization/institution requesting the waiver.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:
STORAGE:
Paper records in file folders.
To assist travelers in their travel arrangements.

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

Information from this system may be disclosed to:
1. Airlines for contacting traveler after hours or on weekends when there are schedule changes.
2. Airlines and hotels for meeting special requirements (wheelchair, etc.)
3. Credit card information will be given to hotels to guarantee room reservations, when approved by traveler.
4. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
5. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.
6. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.
7. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

STORAGE:
Records are maintained in contractor file folders. Also maintained on computer files.

RETRIEVABILITY:
Records are filed alphabetically by last name.

SAFEGUARDS:
NSF employs security guards. Building is locked during non-business hours when the guard is not on duty. Rooms in which records are kept are locked during non-business hours.

RECORD SOURCE CATEGORIES:
Information is received from:
1. Airlines for contacting traveler after hours or on weekends when there are schedule changes.
2. Airlines and hotels for meeting special requirements (wheelchair, etc.)
3. Credit card information will be given to hotels to guarantee room reservations, when approved by traveler.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

PURPOSE(S):
To assist travelers in their travel arrangements.
an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.

3. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.

4. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.

5. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

STORAGE:
Records are maintained in file folders and in a computer system at NSF.

RETRIEVABILITY:
Records are retrieved alphabetically by last name or by Social Security Number.

SAFEGUARDS:
NSF employs security guards. Building is locked during non-business hours when the guard is not on duty. Rooms in which records are kept are locked during non-business hours. Passwords are needed to access information in computer system.

RETENTION AND DISPOSAL:
Profiles used to determine eligibility will be deleted from the system when employee retires, leaves the Foundation, or is no longer eligible for the program. Records of distribution are kept for six years.

SYSTEM MANAGER(S) AND ADDRESS:
Director, Division of Administrative Services, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

NOTIFICATION PROCEDURES:
The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

RECORD ACCESS PROCEDURES:
See “Notification Procedures” above.

CONTESTING RECORD PROCEDURES:
See “Notification Procedures” above.

RECORD SOURCE CATEGORIES:
Information is gathered from the individual and from the NSF Personnel Data Base System.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:
None.

NSF–57
SYSTEM NAME:
NSF Delinquent Debtors’ File.

SYSTEM LOCATION:
National Science Foundation, Division of Financial Management, Financial Statements Section, 4201 Wilson Boulevard, Arlington, VA 22230.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
Employees, former employees, panelists, recipients of fellowship stipends and others owing money to the National Science Foundation.

CATEGORIES OF RECORDS IN THE SYSTEM:
Information varies depending on individual debtor. Normally, the name, Social Security Number, address, amount of debt or delinquent amount, basis of the debt, office referring debts, agency collection efforts, credit reports, debt collection letters, correspondence to or from the debtor relating to the debt and correspondence with employing agencies of debtors.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

PURPOSE(S):
Information is used for the purpose of collecting moneys owed NSF arising out of any administrative or program activities or service administered by NSF. The file represents the basis for the debt and amount of debt and actions taken by NSF to collect the moneys owed under the debt. The credit report or financial statement provides an understanding of the individual’s financial condition with respect to requests for deferments of payment.

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

Information from this system may be disclosed to:

1. The U.S. General Accounting Office (GAO), Department of Justice, United States Attorney, or other Federal agencies for further collection action on any delinquent account when circumstances warrant.

2. A commercial credit reporting agency for the purpose of either adding to a credit history file or obtaining a credit history file for use in the administration of debt collection.

3. A debt collection agency for the purpose of collection services to recover indebtedness owed to NSF.

4. Debtor’s name, Social Security Number, the amount of debt owed, and the history of the debt may be disclosed to any Federal agency where the individual debtor is employed or receiving some form of remuneration for the purpose of enabling that agency to collect debts on NSF’s behalf by administrative or salary offset procedures under the provisions of the Debt Collection Act of 1982 (Pub. L. 97–365).

5. Any other federal agency including but limited to, the Internal Revenue Service (IRS) pursuant to 31 U.S.C. 3720A, for the purpose of effecting an administrative offset against the debtor of a delinquent debt owed to NSF by the debtor.

6. The Internal Revenue Service by computer matching to obtain the mailing address of a taxpayer for the purpose of locating such taxpayer to collect or to compromise a Federal claim by NSF against the taxpayer pursuant to 26 U.S.C. 6103 (m)(20) and in accordance with 31 U.S.C. 3711, 3217 and 3718.

Note: Redisclosures of a mailing address from the IRS may be made only for the purpose of debt collection, including to a debt collection agency in order to facilitate the collection or compromise of a Federal claim under the Debt Collection Act of 1982, except that a mailing address to a consumer reporting agency is for the limited purpose of obtaining a commercial credit report on the particular taxpayer. Any such address information obtained from the IRS will not be used or shared for any other NSF purpose or disclosed to any other Federal, state, or local agency which seeks to locate the same individual for its own debt collection purposes.

7. Data base information consisting of debtor’s name, Social Security Number, and amount owed may be disclosed to the Defense Manpower Data Center
Records are also maintained in file retrieval, accessing, retaining, and policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

STORAGE:
Records are maintained electronically. Records are also maintained in file folders.

RETRIEVABILITY:
Records are retrieved by name or Social Security Number.

SAFEGUARDS:
These records are available only to those persons whose official duties require such access. Records are kept in limited access during duty hours and in locked cabinets at all other times.

RETENTION AND DISPOSAL:
Records are disposed of after ten years unless needed for an ongoing investigation in which case the record will be retained until no longer needed in the investigation.

SYSTEM MANAGER(S) AND ADDRESS:
Director, Division of Financial Management, National Science Foundation, 4201 Wilson Boulevard, Arlington, VA 22230.

NOTIFICATION PROEDURE:
The Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

RECORD ACCESS PROCEDURES:
See “Notification” above.

CONTESTING RECORD PROCEDURES:
See “Notification” above.

RECORD SOURCE CATEGORIES:
Information in this system of records obtained from the individual, institution, award records, collection agencies, and other appropriate agencies, i.e., DMDC, IRS, GAO, USPS.

EXEMPTIONS CLAIMED FOR THE SYSTEM:
None.

NSF–65
SYSTEM NAME:
NSF Vendor File

SYSTEM LOCATION:
National Science Foundation, Division of Financial Management, 4201 Wilson Boulevard, Arlington, VA 22230

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
Employees, former employees, other individuals and vendors who will receive electronic payment from the National Science Foundation for goods or services.

CATEGORIES OF RECORD IN THE SYSTEM:
Name, address, Social Security Number, and the banking information of the payee.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:
The Debt Collection Improvement Act of 1996 provides authority for the National Science Foundation to implement mandatory electronic payments for all obligations.

PURPOSE(S):
This system enables NSF to comply with the electronic payment provision of the Debt Collection Act of 1996.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:
Information from this system records may be released to:
1. The Department of Treasury for the purpose of issuing the payment directly to the financial account of the payee.
2. Financial organizations for the purpose of direct deposit.
3. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected, and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.
4. Contractors, grantees, volunteers, experts, advisors, and other individuals who perform a service to or work on or under a contract, grant, cooperative agreement, or other arrangement with or for the Federal government, as necessary to carry out their duties.
5. Another Federal agency, a court, or a party in litigation before a court or in an administrative proceeding being conducted by a Federal agency when the Government is a party to the judicial or administrative proceeding.
6. Representatives of the General Services Administration and the National Archives and Records administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

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

STORAGE:
These records are maintained electronically.

RETRIEVABILITY:
These records are retrieved by name, Social Security Number or employee identification number.

SAFEGUARDS:
These records are available only to those persons whose official duties require such access. A password is
required for access to the computer system. Printed reports of the data have restricted access and are treated as confidential information.

RETENTION AND DISPOSAL:
Updated information automatically replaces the old information. File is accumulative and maintained permanently.

SYSTEM MANAGER(S) AND ADDRESS:
Director, Division of Financial Management.

NOTIFICATION PROCEDURE:
The NSF Privacy Act Officer should be contacted in accordance with procedures found at 45 CFR part 613.

RECORD ACCESS PROCEDURES:
See “Notification” procedures above.

CONTESTING RECORD PROCEDURES:
See “Notification” procedures above.

RECORD SOURCE CATEGORIES:
Information in this system of records obtained from the individual or payees.

SYSTEM EXEMPTIONS FROM CERTAIN PROVISIONS OF THE ACT:
None.

NSF–67
SYSTEM NAME:
Invention, patent and licensing documents.

SYSTEM LOCATION:
Office of the General Counsel, National Science Foundation, 4201 Wilson Boulevard, Room 1265, Arlington, VA 22230.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
Employees of the National Science Foundation or its grantees or contractors who made inventions while employed by the Foundation or while performing NSF-assisted research.

CATEGORIES OF RECORDS IN THE SYSTEM:
The system contains invention disclosures, patents and patent applications, and licenses submitted to NSF by its employees, grantees, and contractors, including inventor(s) name(s), identification of grantee or contractor, title and description of the invention, inventor(s) address(es) (if rights were waived to the inventor(s), associated patent prosecution and licensing documents.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

PURPOSE(s):
Records in this system are used to administer governmental rights to inventions made by NSF employees or during FSF-assisted research.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USE:
Information from this system may be disclosed to:
1. The Department of Justice and the Office of Management and Budget for consultation in processing Freedom of Information or Privacy Act requests.
2. The Department of Justice, to the extent disclosure is compatible with the purpose for which the record was collected and is relevant and necessary to litigation or anticipated litigation, in which one of the following is a party or has an interest: (a) NSF or any of its components; (b) an NSF employee in his/her official capacity; (c) an NSF employee in his/her individual capacity when the Department of Justice is representing or considering representing the employee; or (d) the United States, when NSF determines that litigation is likely to affect the Agency.
3. Federal Government contractors, grantees, consultants, volunteers, or other personal who have been engaged to assist the Government in the performance of a contract, grant, cooperative agreement, or other activity related to this system of records and who need to have access to the records in order to perform the activity.
4. A appropriate Federal, State, local or foreign agencies responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation or order, where there is an indication of a violation or potential violation of the statute, rule, regulation or order and the information disclosed is relevant to the matter.
5. For the purpose of obtaining patent protection for NSF-owned inventions and granting licenses for these patents, to: (a) Scientific personnel, both in NSF and other Government agencies and in non-Governmental organizations such as universities, who possess the expertise to understand the invention and evaluate its importance as a scientific advance; (b) contract patent counsel and their employees and foreign contract personnel retained by the Foundation for patent searching and prosecution in both the United States and foreign patent offices; (c) all other Government agencies whom NSF contacts regarding the possible use, interest in, or ownership rights in NSF inventions; (d) prospective licensees or technology finders who may further make the invention available to the public through sale or use; (e) parties, such as supervisors of inventors, whom NSF contacts to determine ownership rights, and those parties contacting NSF to determine the Government’s ownership; and (f) the United States and foreign patent offices involved in the filing of NSF patent applications.
6. Representatives of the General Services Administration and the National Archives and Records Administration who are conducting records management inspections under the authority of 44 U.S.C. 2904 and 2906.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:
STORAGE:
The records are stored in file folders, computer tapes, and computer discs.

RETRIEVABILITY:
Records are retrieved by name of the inventor, invention-disclosure number, NSF program, and institution.

SAFEGUARDS:
Data on computer files is accessed by password known only to authorized users, who are NSF or contractor employees involved in patenting and licensing of NSF-owned inventions or administering rights to inventions made with NSF assistance to which grantees, contractors, or inventors have retained principal rights. Access to information is thus limited to those with a need to know. Records are stored in a locked room or in locking file cabinets in file folders. During normal business hours, Office of General Counsel personnel regulate availability of the files. During evening and weekend the offices are locked and the building is closed.

RETENTION AND DISPOSAL:
Records will be retained and disposed of under the authority of Foundation procedures currently under development.

SYSTEM MANAGER(S) AND ADDRESS:
Patent Assistant, Office of General Counsel, National Science Foundation,
NUCLEAR REGULATORY COMMISSION

[Docket No. 150-00005; License No. Colorado 580-1; EA 96-459]

Western Colorado Testing, Inc., Grand Junction, CO; Order Imposing Civil Monetary Penalty

I

Western Colorado Testing, Inc. (WCTI or Licensee) is the holder of a General License pursuant to the provisions of 10 CFR 150.20(a). This authorizes any person who holds a specific license from an Agreement State to conduct the same activity in non-Agreement States subject to the provisions of 150.20(b). WCTI holds a specific license from the state of Colorado, an Agreement State, License No. 580-1.

II

An inspection of the Licensee’s activities was conducted from October 11, 1996, through February 3, 1997, and an investigation was conducted from August 14, 1996, through January 8, 1997. The results of the inspection and investigation indicated that the Licensee had not conducted its activities in full compliance with NRC requirements. A written Notice of Violation and Proposed Imposition of Civil Penalty (Notice) was served upon the Licensee by letter dated June 13, 1997. The notice states the nature of the violation, the provisions of NRC requirements that the Licensee had violated, and the amount of the civil penalty proposed for the violation.

The Licensee responded to the Notice in a letter dated July 16, 1997. In its response, the Licensee stated that facts of the case warrant a reconsideration of both the characterization of the violation (as willful) and the proposed civil penalty.

III

After consideration of the Licensee’s response and the arguments for mitigation or reconsideration of the civil penalty contained therein, the NRC staff has determined, as set forth in the Appendix to this Order, that the violation occurred as stated and that the penalty proposed for the violation designated in the Notice should be imposed.

IV

In view of the foregoing and pursuant to Section 234 of the Atomic Energy Act of 1954, as amended (Act), 42 U.S.C. 2282, and 10 CFR 2.205, it is hereby ordered that:

The Licensee pay a civil penalty in the amount of $2,500 within 30 days of the date of this Order, by check, draft, money order, or electronic transfer, payable to the Treasurer of the United States and mailed to Mr. James Lieberman, Director, Office of Enforcement, U.S. Nuclear Regulatory Commission, One White Flint North, 11555 Rockville Pike, Rockville, MD 20852-2738.

V

The Licensee may request a hearing within 30 days of the date of this Order. Where good cause is shown, consideration will be given to extending the time to request a hearing. A request for extension of time must be made in writing to the Director, Office of Enforcement, U.S. Nuclear Regulatory Commission, Washington, DC 20555, and include a statement of good cause for the extension. A request for a hearing should be clearly marked as a “Request for an Enforcement Hearing” and shall be addressed to the Director, Office of Enforcement, U.S. Nuclear Regulatory Commission, Washington, DC 20555, with a copy to the Commission’s Document Control Desk, Washington, DC 20555. Copies also shall be sent to the Assistant General Counsel for Hearings and Enforcement at the same address and to the Regional Administrator, NRC Region IV, 611 Ryan Plaza Drive, Suite 400, Arlington, TX 76011.

If a hearing is requested, the Commission will issue an Order designating the time and place of the hearing. If the Licensee fails to request a hearing within 30 days of the date of this Order (or if written approval of an extension of time in which to request a hearing has not been granted), the provisions of this Order shall be effective without further proceedings. If payment has not been made by that time, the matter may be referred to the Attorney General for collection.

In the event the Licensee requests a hearing as provided above, the issue to be considered at such hearing shall be:

Whether on the basis of the violation admitted by the Licensee, this Order should be sustained.

Dated at Rockville, Maryland this 28th day of October 1997.

For the Nuclear Regulatory Commission.

James Lieberman,
Director, Office of Enforcement.

Appendix—Evaluation and Conclusions

On June 13, 1997, a Notice of Violation and Proposed Imposition of Civil Penalty (Notice) was issued for the violation identified during an NRC inspection and investigation. Western Colorado Testing, Inc. (WCTI or Licensee) responded to the Notice in a letter dated July 16, 1997. In its response, the Licensee stated that facts of the case warrant a reconsideration of both the characterization of the violation (as willful) and the proposed civil penalty. However, the Licensee did not dispute the violation in its response and, in its April 1, 1997 letter responding to the inspection report, admitted the violation. The NRC’s evaluation of the Licensee’s request and conclusion regarding the Licensee’s requests are as follows:

Summary of Licensee’s Request for Mitigation

WCTI stated that, although management was aware of the requirement to inform the NRC prior to working in areas under NRC jurisdiction, this fact alone does not justify designation of the violation as willful, and the corresponding penalty of $2,500. In support of its position, the Licensee stated that the Radiation Safety Officer (RSO), who was “not as honest and forthright” as WCTI’s president, had represented to WCTI’s president that he filed the required Form 241; and that WCTI’s president made every effort to ensure compliance with NRC requirements. WCTI also noted that its compliance efforts are reflected by the fact that there has never been any previous escalated enforcement action against it.

WCTI pointed out that, according to the NRC’s Enforcement Policy, previous escalated enforcement is a factor that is considered in assessing a civil penalty, and that this factor was not considered in the proposed assessment of the civil penalty.

WCTI noted that, in cases where the NRC concludes that no willful violation has occurred, and no escalated enforcement action has been taken within the two prior years or during the two prior inspections,